

**THE EFFECTIVENESS OF THE SOUTH AFRICAN-CUBAN  
TECHNICAL SUPPORT PROGRAMME (SACTSP) IN IMPROVING  
THE QUALITY OF LIFE OF HOUSING BENEFICIARIES IN SOUTH  
AFRICA**

**by**

**AIFHELI ISMAEL MUKHADAKHOMU**

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**PROMOTER: Prof P. Khumalo**

**CO-PROMOTER: Prof E.J. Nealer**

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## DECLARATION

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**Name:** Mukhadakhomu A.I

**Student number:** 32114206

**Degree:** Doctor of Administration in Public Administration

I hereby declare that the thesis entitled: **The effectiveness of the South African-Cuban Technical Support Programme (SACTSP) in improving quality of life of housing beneficiaries in South Africa** is my own work. All the sources that I cited in this study have been acknowledged accordingly.

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**A.I. Mukhadakhomu**

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**Date**

## **DEDICATION**

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This thesis is dedicated to my beloved wife and our daughters

## ACKNOWLEDGEMENTS

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I wish to acknowledge with deep appreciation and gratitude for the invaluable contribution by the following individuals towards the completion of this study:

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## **ABSTRACT**

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The post-apartheid government inherited an urban housing backlog of approximately 1.3 million units at its inception in 1994. This huge backlog was partially contributed by apartheid discriminatory administrations and laws such as the Black (Native) Laws Amendment Act, No 46 of 1937 and the Black Communities Development Act, No 4 of 1984 along with rapid urbanization during the post-apartheid period.

In a bid to address past injustice related to housing, it has become necessary for the post-apartheid government to diversify housing delivery approach to include alternative development and delivery strategies, methodologies and products including upgrading of informal settlements, and increasing rental stock. The human settlements department also encouraged the establishment and implementation of self-help housing through the establishment of the People Housing Process (PHP). It is the implementation of this programme that led to the establishment of the SACTSP aimed at enhancing South African housing service delivery using Cuban experience. The programme has been implemented in the South African human settlements sector since 2002. The focus of this research is to evaluate the impact of the South African Cuban Technical Support Programme (SACTSP) in the lives of the South African housing beneficiaries. The collected and analysed data, to a large degree, confirmed the effect of the programme in the lives of the beneficiaries.

The research design of the study is a multiple Case Studies approach. The scope of the study is the three provinces participating in the SACTSP, which are Mpumalanga (MP), Western Cape (WC), and Limpopo (LP). The intention was to have both the control group and the intervention group in the same province, but due to the over usage of the CTA's in these provinces the researcher decided to use Gauteng Province (GP), a non-participating province in the programme, as a control group. This is also due to the fact that the province (Gauteng) is also commonly known for publicly criticising the effectiveness of the SACTSP programme. Data was collected in three housing projects from the three Gauteng Metropolitan Municipalities Tshwane, Ekurhuleni and City of Johannesburg. The selected projects were Mamelodi Extension 5 in Tshwane, Villa Lisa (Boksburg) in Ekurhuleni and Driekiek Extension 3 in Orange Farm, Johannesburg.

The selected projects where the CTAs participated (experimental group) were Chicago Bulls at Strand in Cape Town (WC), Thekwane South Housing Projects, Nelspruit in Mpumalanga and Westernburg at Polokwane in Limpopo Province.

In each unit of evaluation, questionnaires to collect data were distributed to the rightful owners (beneficiaries) of the houses, who were above eighteen years of age. (Annexure A). The participants, all rightful owners of state subsidies, were identified by means of purposive sampling. The main goal of purposive sampling is to focus on particular characteristics of a population that are of interest, which will best enable the researcher to answer the research questions

Semi-structured interview questions were also conducted to the main stakeholders in the housing circle. This includes officials in all spheres of government involved in delivering sustainable human settlements (Annexure B). The selection is also influenced by what is called the “good enough” rule in formulating evaluation research (Rossi *et al.*, 2012:28). Stated simply the “good enough” rule advocates that the evaluator should choose the strongest possible design from a methodological stand point after having taken into account the potential importance of the results, the practicality and feasibility of each design and the probability that the design chosen will produce useful and credible results (Rossi *et al.*, 2012:33)

The collected data was analysed and presented in five principal stages involving descriptive and inferential statistics. The first phase involves presenting the reliability of the instrument using Cronbach’s alpha. The second phase presents the descriptive statistics of the sample using frequencies, and proportions for categorical data and means and standard deviations for continuous variables. The validity of the instrument then follows using exploratory factor analysis which explains the observed variables that are linked to underlying factors. The fourth phase involves calculation of composite variables using the means and averages to determine the trend patterns in the data. The central limit theorem was applied to the data and comparative analyses were done to determine whether views differed by socio-demographic variables. The two sample independent t-tests were done to determine whether views of the respondents differed for two-categorical variables and the one-way Analysis of Variance (ANOVA) was used to determine whether views differ for variables with more than two categories. The fifth stage

presented the correlation analysis which was used to determine the extent or degree of the relationship between the constructs.

The findings of the studies confirm the effectiveness of the programmes in the participating provinces. The study also discovered that, CTA's are mostly transferring skills to contractors who happened to be working close to the CTAs and only to beneficiaries in a few instances. This is due to the nature of the self-help model that the South African government adopted which involves private contractors in building PHP houses. This model ignores the national PHP policy and guidelines which recognise beneficiaries as the main drivers of the PHP. The study concludes by recommending the department policy makers to monitor and enforce correct implementation of formulated policy to close the gaps that are usually created between policy formulation and implementation.

## **KEY TERMS DESCRIBING IN THE THESIS**

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**Title of thesis: The effectiveness of the South African-Cuban Technical Support Programme (SACTSP) in improving the quality of life for housing beneficiaries in South Africa.**

- South African Cuban Technical Support Programme (SACTSP)
- Cuban Technical Advisors (CTA's)
- Cuban Housing Policy
- Community Participation.
- Ladder of Participation
- Housing beneficiaries
- Self Help housing
- People's Housing Programme (PHP)
- Turner's housing theory
- Housing legislations



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## **CHAPTER 1**

### **INTRODUCTION AND BACKGROUND OF THE STUDY**

---

#### **1.1 GENERAL OVERVIEW OF THE STUDY**

Humankind since time immemorial has always had the quest to satisfy three basic human needs: clothing, food, and shelter (Mitlin, 2001:511). In today's world, the struggle to achieve the three fundamental needs remain elusive to millions of people around the world with a total population of seven billion inhabitants Sexwale, (2013: On-line). The right to shelter in South Africa has its historical and philosophical genesis encapsulated in the 1955 Kliptown Manifesto of Liberation, commonly known as the Freedom Charter (Clark & Worger, 2016:32). With regard to decent human settlements the charter declares that: "There shall be housing, security and comfort" (Congress of the People, 1955). All people shall have the right to live where they choose, to be decently housed and bring up their families in comfort and security. Unused housing space shall be made available to the people. Rent and prices shall be lowered, slums shall be demolished and new suburbs built where all have transport, roads, lighting, playing fields, crèches and social centers (Clark & Worger, 2016:27).

To give effect to the housing demands of the Freedom Charter, Section 26 (1) of the South African Constitution, the supreme law of the land, directs that: "Everyone has the right to access to adequate housing and that the state must take reasonable legislative and other measures, with its available resources, to achieve the progressive realization of this right" (Republic of South Africa, 1996: Section 26 (1)).

In the current South African context, issues related to human settlements (HS) are contentious and sometimes political. Strict social engineering during apartheid meant that black people were disadvantaged. Cities were racially divided, and the black population forced to live far from places of economic activity and without public amenities (Clark & Worger, 2016:29).

South African housing policy has now been in place for more than twenty years. It arose from debates at the National Housing Forum (NHF), a multi-party organisation established in 1992 to negotiate a new non-racial housing policy and strategy (Sikota, 2016:4). These debates focused, in particular, around such issues as:

- whether housing should be provided by the private or the public sector;
- what standard of housing should be provided: a completed four-room house or “progressive” (incremental) housing; and
- how rapidly the housing backlog should be eliminated.

The National Housing Policy framework that arose from this process put forward a vision and goal for housing delivery. It also set out the principles and strategies to be used in fulfilling these aims (Sikota, 2016:4). Through a new “housing subsidy scheme”, qualifying households were to have access on a progressive basis to:

- a permanent residential structure with secure tenure, ensuring internal and external privacy and providing adequate protection against the elements; and
- potable water, adequate sanitary facilities, and a domestic energy supply.

When the ANC led government came to power in 1994, the housing backlog was at 1.3 million units. The 1.3 million households were then considered “inadequately housed” because they lived in informal settlements, backyard shacks, and hostels (Tomlinson, 2015:17). The new democratic government tried to address the housing backlog problem through various strategies, initially focusing on building houses, and later attempting to shift the focus from “housing” to “human settlements”. This was mainly done by the announcement of a new Breaking New Ground (BNG) in 2004 designed to address problems arising from the policies of the first ten years of democracy (Department of Housing, 2004:56). But besides all the attempts by the new government, housing problems persisted, leading to housing protests across the country in areas like Itsoseng informal settlement near Honeydew in Gauteng Province and Hangberg in Hout Bay in the Western Cape Province (Tissington, 2011:7).

It can generally be said that the National Department of Human Settlements has made good progress in delivering housing (Tomlinson, 2015:5), but the demand

for housing and the delivery is still faced by a number of challenges that the department has to overcome. This background chapter highlights some of the challenges that serve as the bottlenecks to housing service delivery that the Department of Human Settlements is confronted with.

## **1.2 BACKGROUND OF THE STUDY**

Section 26 of the South African Constitution guarantees the right of access to adequate housing. Despite the recognition of this right, millions of people in South Africa, still lack adequate housing and many of them continue to live in inhuman conditions without access to basic services (Clark & Worger, 2016:113). This environment seriously creates a burden for government as a growing number of households depend on government for housing as they are unable to adequately house themselves without some government intervention.

### **1.2.1 Decreasing housing delivery figures**

Alongside the 1.5 million housing backlog figure is the worrying fact that the delivery figures of housing to the increasing number of beneficiaries have been decreasing over time. According to the Department of Human Settlements, in the early years of the housing policy's implementation, approximately 200 000 housing units per annum were being constructed. Delivery figures show that, from a peak of 235 600 units in the 1998/99 financial year, housing delivery has decreased to some 106 000 units in 2015/16 (Department of Human Settlements, 2016:31).

Department of Human Settlements attributes declining delivery in the first ten years after 1994 to the slow release of land for housing and often unsettling policy shifts, among other things. However, to understand the sharp decrease in the delivery of housing by the human settlements department, it is also necessary to revisit the difference between policy intentions and the way these have been interpreted in practice (Department of Human Settlements, 2016:39).

Part of the problem contributing to the decreasing housing delivery, as earlier noted, is that poor households have interpreted the Constitution's housing

mandate as giving them a right to a free house. This interpretation has never been in keeping with the agreement reached at the National Housing Forum (NHF), which was to deliver progressive or incremental housing. In addition, the relevant constitutional clause is carefully phrased, stating that people have a right of access to adequate housing, the key words here being “access” and “adequate”. The clause also gives the state the task of achieving the progressive realization of this right, while recognizing that it can do so only within the limits of its available resources (Tomlinson, 2015:17).

It is also worth recalling the terms of the agreement, hammered out in the NHF that the government’s delivery approach would focus on “breadth” rather than depth. This meant, in essence, that the Government would provide a lesser standard of housing to as many people as possible, rather than a higher standard of housing to fewer people.

This agreement was intended to help realise the goal of eliminating the housing backlog within a five-year period. In line with this objective, the national housing subsidy was intended to provide beneficiaries with their first step on to the housing ladder. Beneficiaries would thus be given a serviced site, together with a rudimentary structure and secure tenure. The intention was that, over time, households would consolidate and extend what they had received from the government. By using their own resources and gaining access to housing finance, if this was available, they would eventually end up with the desired type house (Tomlinson, 2015:26).

However, after the 1994 election that brought the Government of National Unity (GNU) to power, the first group of provincial housing MECs rejected this approach and began exerting pressure on the Government to deliver formal houses. Ever since, both politicians and communities have persistently demanded increases in the subsidy amount, so that this would become big enough to build a four-room house. Over time, the housing subsidy has thus grown from its original R12 500 per household to R160 500 per household in 2014, an overall increase of some 1 200% (Tomlinson, 2015:7).



Today, moreover, this increased housing subsidy is intended to cover only the construction of a house, with land and service costs coming out of provincial and local government budgets.

In practice, thus, South Africa's housing policy has seen its focus turn from breadth to depth. This has mixed ramifications. On the one hand, the standard of housing delivered today has improved significantly from what was provided in the early years. On the other hand, this improvement has come at the cost of shrinking delivery figures (Sowetan, 2014). It has also seen expenditure on housing grow faster than any other budget item, including social grants. In 1994 government spending on housing and community amenities accounted for 1% of the Gross Domestic Product (GDP). In 2015/16, according to the current budget, expenditure in these spheres rose to 3.7% of GDP, making for an overall increase of 270%. This is a faster rise even than expenditure on social grants and other forms of social protection, which rose from 2.8% of GDP in 1994/95 to 3.8% of GDP in 2015/16, an increase of 36%. Already, annual spending on housing and community amenities consumes 11.4% of budgeted government expenditure, which is almost as much as health (Tomlinson, 2015:33).

### **1.2.2 Implementation of the Breaking New Ground (BNG) policy**

The Breaking New Ground (BNG) policy aimed to make human settlements more habitable by increasing the size of the houses to be provided. Unlike the previous 20 - 34 square meters RDP subsidy houses, the BNG house was 40 square meters (Department of Housing, 2004:11)

The BNG policy also sought to integrate subsidised houses with rental and bonded properties, provide a higher level of municipal engineering services, and create ancillary facilities, such as schools, clinics, community halls, and informal trading facilities. It urged the use of different housing densities and types, so that single-stand units would in future be combined with double-floors units and adjoining terraced or row houses. The State would also seek to build on well-located land and encourage higher residential densities, so as to reduce travelling distances and overcome apartheid spatial inequalities. Housing design would be improved to

change the face of the stereotypical RDP house, while the quality of construction would be improved (Department of Housing, 2004:12). All these factors would help generate sustainable human settlements, which would go beyond providing basic shelter to promoting “economic growth and social development.

To increase affordability, the housing subsidy formula would be changed, so that all households earning less than R3 500 a month receive the same amount, which would also be increased in line with inflation (Department of Human Settlements, 2011:21). In addition, the state would help households with monthly incomes of between R3 500 and R7 000 gain access to housing loans, which will enable them to buy houses for themselves. Funding would also be provided for social housing: rental housing at low cost and medium-density (Department of Human Settlements, 2011:24).

The national housing code promotes a complete eradication of informal settlements (Department of Housing, 2000:4). In a further major break from the housing code, the BNG document stressed the urgent need to integrate informal settlements into the broader urban fabric. The national Department of Human Settlements would thus introduce a new informal settlement upgrading instrument, which would seek to bring about the focused eradication of informal settlements. This would be done mainly through a phased *in-situ* upgrading approach. Only where such upgrading was not feasible (for example, because a settlement was located on land prone to flooding or subsidence) would residents instead be relocated (Department of Housing, 2004:13).

The upgrading process of informal settlements would start with an assessment of community needs and then move on to the provision of basic services and secure tenure for all residents, so opening the way for housing development. Delivery would take a variety of forms, including medium-density housing and free-standing houses, which would be built either through community self-help or local contractors. Municipalities would be the primary implementing agencies and would be responsible for operational and maintenance costs (Department of Human Settlements, 2011:9). They would work together with small community-based organizations (CBOs) and larger non-government organizations (NGOs) active within targeted informal settlements, so as to encourage community participation

in planning and other processes (Department of Human Settlements, 2011:16). Upgrading projects, the BNG document went on, would be implemented through partnerships across national, provincial, and local tiers of government.

Renewed emphasis would be given to the People's Housing Process (PHP), which was aimed at giving residents a greater choice over the use of their subsidy and enhance beneficiaries' commitment to housing projects. Although the PHP approach would also help provide more for less, there was some confusion as to what this meant. Some people thought it meant reducing costs through "sweat equity" or getting people to help build their own homes, while others thought it wrong to force beneficiaries to provide free labour. The focus and content of PHP would thus be clarified and redefined. A new funding mechanism for PHP would also be established, to help build capacity and organizations among housing beneficiaries (Department of Housing, 2004:19). These resources would be made available by local authorities, acting through CBOs and NGOs.

The BNG policy also aimed to give municipalities a much greater role in housing development. It recommended that municipalities assume overall responsibility for housing programmes in their areas of jurisdiction. Municipalities would be accredited to take on this function, once they had "demonstrated their capacity to plan, implement and maintain housing projects and comply with financial management rules (Department of Housing, 2004:29).

To this end, municipalities were urged to establish housing units with adequate staff complements, set up planning committees, compile inventories of the land they owned (especially land suitable for housing), and affirm their willingness to comply with the national department's anti-corruption, monitoring and reporting requirements (Harris, 2003:260). Accreditation would begin with the nine metropolitan authorities, followed by various secondary towns, and would over the next ten years extend to all 257 municipalities across the country.

According to Sithole and Manthosi (2017:215), when municipalities became accredited to take on housing development, the role of national and provincial housing departments would increasingly shift towards formulation, monitoring and facilitation. Housing funds would flow directly from the national department to

accredited municipalities, so bypassing the provinces. The national Department of Human Settlements would also help crack down on fraud and corruption. In addition, it would focus increasing attention on the development of local contractor capacity, so helping to bring about the growth of construction SMEs and black economic empowerment (BEE) within the construction sector.

Despite the BNG's proposals, few municipalities have in fact been accredited for housing development as yet. In the accredited municipalities, none had been given "level 3" responsibilities for all budgetary and housing delivery functions (Department of Human Settlements, 2012:6) It is believed that political factors are at play with regard to the reluctance to accredit the municipalities.

It is commonly known that provincial housing MECs have long been reluctant to hand control over significant housing resources to municipalities (Sithole & Manthonsi, 2017:219), nor do they wish to relinquish their current control over subsidy allocation, as both these shifts would significantly weaken their political power. Hence, the BNG document's call for all municipalities to be accredited to take over housing development within ten years has largely fallen on deaf ears (Tomlinson 2015:11)

The provinces thus remain the key actors in housing development, while the delivery of formal houses rather than the upgrading of informal settlements, is still their key focus (Department of Human Settlements, 2012:9). This is partly also for political reasons, as provincial housing departments get more kudos (are complimented) for building new houses than for tackling the challenging and time-consuming task of upgrading shack settlements.

### **1.2.3 Escalating cost of development and housing quality**

Another serious challenge confronting the Department of Human Settlements in its mandate of delivering sustainable human settlements is that of the ever escalating cost of building materials. The value of the housing subsidy has shot up, partly because of the increased costs of building a better quality four-room "BNG" house, and partly because of the BNG decision to link the subsidy to the inflation rate. In 2006 the housing subsidy for individuals earning less than R3 500 a month stood

at some R29 500, but by 2014 (as earlier noted) it had soared to more than R160 500 for the structure alone (Tomlinson, 2015:12)

The Financial and Fiscal Commission (a body established under the Constitution to advise on the allocation of revenue between different functions and tiers of government) projected that it would cost some R800bn to eradicate the current housing backlog by 2020 (Department of Human Settlements, 2016:14).

Despite the greatly increased value of the subsidy, there has been little real improvement in the quality or sustainability of new housing developments. By 2015 the national Department of Human Settlements had spent more than R2bn on fixing badly-built RDP houses. This rectification programme was later terminated and the fixing responsibilities were passed on to beneficiaries as part of their maintenance (Department of Human Settlements, 2017:19).

A large number of RDP houses are poorly designed, erected on land without roads, sewerage systems, water and electricity, and built without professional supervision by architects, structural engineers or soil analysts. In some instance 40% of houses in a housing development project had such serious structural defects that they had to be demolished and rebuilt (Fernandez & Bredenoord, 2010:246)

#### **1.2.4 Informal settlements upgrading**

The current housing policy framework (BNG) aims at upgrading informal settlements and creating an environment for dignified human settlements with proper sanitation, electricity and water (Development Action Group, 2011:23). This policy is a shift from the housing code, which was aimed at eradicating informal settlements and evictions, to upgrade. The BNG policy shift has led to the establishment of a number of programmes intended to support *in-situ* upgrading. These include the upgrading of the Informal Settlement Programme (UISP); and the National Upgrading Support Programme (NUSP), which seek to build capacity among provincial and local officials; and an Extended People's Housing Programme. However, it is difficult to assess how much progress has in fact been made in upgrading informal settlements (Huchzermeyer, 2015:51).

In 2009/10 the National Department of Human Settlements has identified at least 2 700 informal settlements across the country, of which most (635) were found in KwaZulu-Natal, followed by Gauteng (with 489) and 445 in the Western Cape provinces (Landsman & Napier, 2010:137). It was in the process of giving formal recognition to these settlements, and then re-establishing them as serviced sites with water and sanitation infrastructure provided by municipalities. This was mostly being done via the Upgrading of Informal Settlements Programme, under which the State provides serviced sites to residents to improve their quality of life but does not guarantee the provision of an accompanying top structure. This is because the people living in informal settlements may not qualify for the housing subsidy: for example, because they are not married, or lack South African citizenship or permanent residence.

More recent figures from the National Department of Human Settlements put the number of informal settlements in March 2014, at 2 225 – a significant (475) decrease from the 2 700 such settlements earlier identified. Decreases are most marked in KwaZulu-Natal (511 in 2014, vs. 635 before); the Western Cape-(350 in 2014, from 445 before); and Gauteng provinces (399 in 2014, from 489 before) (Department of Human Settlements, 2016:17).

According to the national Department of Human Settlements, it has delivered more than 322 000 serviced sites over the six years to March 2015, which may have further reduced the number of informal settlements (Department of Human Settlements, 2015:52) The Department encourages people to invest in their own housing, and that a significant number of homes have been built by people provided with serviced sites.

*In-situ* upgrading is still the “Cinderella” element in the overall housing programme, even though the government has recognised, since the BNG policy shift in 2004, that it cannot provide a new formal house for everyone. *In-situ* upgrading is also essential in an era of rapid urbanisation and significant internal migration, mostly to Gauteng and Western Cape provinces. This is partly because provinces prefer to concentrate on formal housing, while municipalities are generally still not accredited for housing development. Local authorities may also be reluctant to

extend water and sanitation services to areas where residents are unlikely to be able to pay for them, as this will simply add to existing pressures on municipal budgets (Hoosen & Mafukidze, 2008:11).

The BNG document noted that municipalities see RDP housing projects as liabilities rather than assets because of “the inability of recipients of subsidy-housing to pay for municipal services”; and the affordability problem could well be worse in informal settlements. In addition, the upgrading process is often technically complex and fraught with intra-community tensions and conflicts.

This view from municipalities stems from a lack of clear leadership structures within informal settlements. In many of these areas, shacks are also built cheek-by-jowl, with little space between them for access roads or community facilities. Bitter conflicts can easily arise over the location of roads, schools, clinics, and the like. Often, moreover, no development is possible without taking down some of the shacks and at least temporarily relocating the people living there, while the affected residents often resist being moved in this way. To help resolve these issues, the BNG document puts great emphasis on community participation, but progress here has also been slow and uncertain.

### **1.2.5 Emerging trends in the South African human settlements space**

Human settlements space in South Africa, particularly housing, is a contentious political issue. Pinning down the exact size of the housing backlog is difficult, but the confirmed number is 2.1 million. What is clear is that the government’s ability to deliver has declined (Department of Human Settlements, 2016:7). The slow housing service process and the inability by the government to close the housing backlogs resulted in housing-related issues to be at the center of most of the service delivery protests across the country. Protesters point out that they have been on housing waiting lists for many years (Kihato, 2014:360). Extreme frustration has given rise to violent protests, which have been growing in intensity. Beneficiaries are unhappy with unclear time-frames about when developments will take place (EAAB, 2015:7). They are mostly frustrated by empty promises, and they now demand “time lines and commitments” from the government’s side.

Embracing urban informal settlements, some researchers and public decision makers in the public sector have begun thinking about prioritising commercial development instead of poverty housing, so that market transactions can bring residential housing into spatial alignment with economic activity and jobs can become more accessible (Parnell, 2008:29). At the same time, land markets involved with subsidy housing are not unproblematic: urban land prices continue to present a serious barrier to economic access by low-income groups; similarly, subsidy housing may become a barrier in itself if running- and hidden costs are not affordable for occupiers.

The emerging trends with regard to informality are that of a shift of mind towards informality in the human settlements space, particularly in the eradication of urban areas informal settlements. The developing attitudes toward informality (shack house) which prevail among non-government researchers and commentators have shifted as the housing policy community has examined the potential implications of shack housing elimination. With more research to draw on, the voices calling for formal recognition of the informal land market are growing louder (Huchzermeyer, 2004:56).

From a complementary viewpoint, Berrisford *et al.* (2007:182) in a Gauteng Province case study documented the inefficiency and exhausting nature of bureaucratic requirements on the side of the local government apparatus that communities need to deal with, together with the lack of delivery results over periods extending for years. Their study raises serious questions around the generally assumed superior efficiency of South Africa's formal land management system at local level.

Huchzermeyer (2004:24), Charlton (2006:11) and Cross (2006:39) among others have underlined the importance of accessible spatial location for poverty livelihoods, and the role of shack housing as the active lowest level of the functioning housing market.

Cross (2006:39) has emphasised the capacity of the informal land market to deliver the fastest and most flexible access to shelter of any administrative system now on offer, while at the same time protecting urban shack settlements from



down-market interventions by elites interested in entering advantaged urban localities occupied by the poor.

Coming to housing delivery from a different perspective, the useful body of research information on informality in respect of land and housing issues in the shack settlements and townships themselves is rapidly accumulating. The picture that emerges is one of an informal land management system with rational, price-responsive functioning and significant capacity to distribute access to resources, but also one that is deeply embedded in localised community networks from which it draws the moderate level of security it is able to provide.

In addition to the Gordon and Abrahams studies of informal land management cited above, Barry *et al.* (2008:47) address informal land use management and land records in a Cape Town settlement as an institutional question. Hoosen and Mafukidze (2007:27) show how the most crowded upmarket township in Soweto carries out land management and land transfers in a highly informalised system, in which would-be buyers and sellers are often unable to organise bank finance for legal housing sales when they try to do so, and therefore find themselves closed out of the formal market by procedural barriers and administrative red tape. In an important earlier article, Huchzermeyer (2011:143), shows how informality rapidly reasserts itself throughout the economy, society and institutions of another Cape Province (Hout Bay) shack settlement, which has been fully upgraded and transformed into township living space.

### **1.2.6 Relaxation on the implementation of PHP policy**

A People's Housing Process (PHP) has been touted by the government as the “key delivery method for low-cost housing for those who prefer to build their own homes” (Department of Housing, 2000:29). The tenets of the PHP, as it is understood and interpreted in the People's Housing Process policy, are its reliance on the labour of the beneficiaries to build their own homes. Thus, the PHP is assumed to be a housing delivery process that is aimed at reducing costs by using the labour of beneficiaries as a contribution to the process. The National Department of Human Settlements is of the opinion that if beneficiaries are given the chance either to build houses themselves or organise the building of their homes, they can build better houses for less money (Department of Human

Settlements, 2012:45). In essence, one of the major objectives of the PHP is for the beneficiaries to build or organise the building of their houses. This can be done in the form of sweat equity or a contribution in the form of contributing own labour.

This means that beneficiaries over and above being involved in decision-making also take part in the actual construction of their houses. In successful PHP communities, there are volunteers who also join in the construction of the homes of kin, friends or neighbours. The PHP policy as per the Housing Code recognizes beneficiaries as the main drivers of the PHP. The policy is designed to “accommodate involvement in human settlement development, through beneficiaries’ choice in key housing decisions”. According to Huchzermeyer (2011: 117), “the PHP is not a housing delivery model to be implemented, but a people’s housing practice or programme to be supported and facilitated” (Huchzermeyer (2011: 117).

The PHP policy allows beneficiaries or communities to build their houses themselves. It has been observed over a period of time that the PHP model of housing delivery is slow as it involves more stakeholders as compared to a general implementation of low-cost housing, which is solely implemented by the state (Marais, 2003:47). It is mainly for this reason that most of the provincial departments of human settlements abandon this model of delivering housing to beneficiaries as the use of this model resulted in few quality houses. Political heads of departments in governments departments and municipalities usually focus on the construction of as many houses as is possible in a particular period of time.

### **1.2.7 Lack of technical capacity in the built environment**

According to the South African National Development Plan (NDP), civil engineering is at the heart of infrastructure creation and service delivery in South Africa. Statistics for the national government departments involved in planning ‘technical’ infrastructure projects show that there is a substantial/severe shortage of civil engineering professionals with the necessary knowledge, skill, competence. This lack leads to insufficient supervision in the development of infrastructure and the effectiveness of the National Development Plan (Veelen, 2013: On-line). “Over the last number of years’ technocrats who had managed the central government

departments and parastatals that are largely responsible for infrastructure development, namely the Departments of Water Affairs, Transport, Public Works, Provincial and Local Government, Housing and Energy, and parastatals such as Transnet, Eskom and Telkom among others, have been replaced by bureaucrats who do not always have the technical background or knowledge that is required” (Veelen, 2013: On-line). The problem is exacerbated by the general global demand for skilled engineers and the shortage of these skills in South Africa, particularly civil engineering.

According to the Engineering Council of South Africa (ECSA), the international benchmark of engineers per population shows that South Africa lags behind globally. South Africa has one engineer per 2 600 people compared to international norms, where one engineer serves 40 people. There are just over 16 000 registered professional engineers in the country (Mail and Guardian, 2017). The latest research conducted by the South African Institute of Civil Engineering SAICE report on engineering capacity in the South African municipalities, painted a bleak picture (SAICE, 2017). The research surveyed all 278 of SA’s municipalities in 2015 and found that the average age of their engineering staff was just 38, a sharp drop from the average of 46 recorded 10 years earlier. The most senior civil engineering staff member was 41 or younger in nearly half the municipalities, and in one-sixth, the most experienced engineering person was no older than 34. Over the same period, the number of professionally registered staff had fallen from 455 to 294, and the pool of nonregistered engineering staff had grown from 1,420 to 2,094 (Financial Mail, 2017). The National Development Plan (NDP) identifies the role that different sectors should play in overcoming poverty and inequality and reducing unemployment, and the implications these have for skills development. The plan recommended an increase in the number of technical skills to improve public infrastructure (Department of Higher Education & Training, 2014:53).

There are various reasons that contributed towards the lack of these aforementioned required skills. A plethora of sustainable solutions aimed at addressing the ongoing skills shortage must take into consideration all levels of education. The current schooling system is failing the country if one considers the number of students writing Mathematics who meet the basic requirements for

admission to university for civil engineering programmes. Physical Science and English are mandatory subjects for admission to civil engineering courses, yet information available to us suggests that there is little career guidance available to learners about the minimum entry requirements for and the duration of higher education courses leading to professional civil engineering qualifications (Mail & Guardian, 2017).

It is said that a high proportion of engineering graduates choose to work in countries outside South Africa, resulting in skills gaps in this sector (Financial Mail, 2017). The motivation for migration is said to be very complicated, but it among others includes safer environment, living conditions, lack of facilities, lack of promotion, economic decline, and poor management (Financial Mail, 2017).

The shrinking pool of senior engineering professionals simply does not have the capacity to train, mentor and guide the growing number of nonprofessional staff entering the public sector. The public sector is no longer the training ground of choice it was 30 years ago. At one stage 70% of professional engineers were in government service, and there are now about 30% of professional engineers in the public service “It’s difficult for a young person without sufficient experience to make the right decisions and to prioritise. The weakening of in-house engineering expertise in municipalities puts infrastructure projects from roads to waste water treatment at risk, and threatens service delivery (Financial Mail, 2017). It is also not easy to attract talented individuals to work in rural municipalities

The lack of technical skills in the built environment, particularly in the public sector is mostly cited as the reason for the lack of service delivery in the human settlements sector. It is also the reason for some provincial departments to participate in the SACTSP to strengthen their technical capacity. Other provincial departments who recognise the insufficiency of professional technical capacity resulted in the approach to make use of PRTs. A PRT is a team of professional consultants that will be appointed by the DHS to plan and/or manage and/or oversee and/or implement a project. Depending on the scope and needs of specific projects, PRTs will consist of different professionals. These PRTs will consist of external service providers in various fields where such support might be needed by the Department of Human Settlements. In some instances, a single

profession might be needed while in others, a complete team covering the full spectrum of disciplines might be required (Department of Higher Education & Training, 2014). It is commonly known within the Department of Human Settlements space that the usage of PRT does consume more budget than permanently hired employees. The usage of PRT's is even costly than the usage of Cuban Technical Advisor's (CTA's). The Public Service Commission highly discourages the usage of PRT's in the public sector (Public Service Commission, 2011:18).

### **1.3 PURPOSE OF THE STUDY**

South Africa and Cuba concluded a Bilateral Agreement in 2002, undertaking to cooperate in Economic, Scientific, Technical and Commercial areas. An Agreement was entered into between the two countries in 2004 on the Employment of Cuban Technical Advisors in the relevant South African Provincial departments of housing (Valladares, 2013:21). This Agreement was valid for three years and was extended for a further three years in 2007 and in 2010. A new bilateral Agreement was entered into between the two countries in November 2013.

The new agreement accommodates the Department's mandate change from housing to human settlements. It also moves beyond the recruitment of Cuban Technical Advisors by provinces, to encompass a whole range of new areas for co-operation. The new Agreement addresses a more focused utilisation of the Cuban Technical Advisors, and also seeks to sharpen the existing co-operation to focus more on:

- technical support, to accelerate the implementation of the People's Housing Process (PHP) projects and other Human Settlements projects;
- knowledge and information sharing on best practices for engineers and architects working in Human Settlements projects;
- promotion of community participation based on the Cuban experience; and
- innovative and cost effective implementation based on Cuban experience (Valladares, 2013:2).

The new Agreement also provides for the following new areas of co-operation:

- The recruitment and utilisation of Cuban Technical Advisors (CTA's) not only in Provincial Departments, but also by the National Department of Human Settlements and Accredited municipalities, in Human Settlements projects;
- The cooperation in the field of Social building brigades to enhance implementation of PHP projects, youth and women programmes including related human settlements projects;
- An exchange Programme for training of engineers and architects to strengthen the skills transfer component of this Agreement;
- A training programme for artisans in South Africa based on Cuban experiences (Department of Human Settlements, 2011:15).

The South Africa-Cuba Technical Support Programme (SACTSP) is managed by the Technical Capacity Development Chief Directorate, in collaboration with the National Committee comprised of representatives from Provinces participating in the programme and the National Department of Human Settlements represented by the International Relations and the PHP Units, as well as Unión de Empresas Constructoras Caribe (UNECA) - a Cuban State-owned enterprise under the Cuban Ministry of Construction, which specialises in construction projects in foreign countries. The programme is reported to the Joint Bi-National Commission hosted bi-annually between Cuba and South Africa.

The fundamental purpose of this study is to evaluate the effectiveness of the SACTSP as is currently applied in the participating provincial departments of Human Settlements. The SACTSP was initiated mainly to accelerate the implementation of People's Housing Process (a self-help programme of housing delivery in the Human Settlements sector (Department of Human Settlements, 2011:44)

#### **1.4 PROBLEM STATEMENT**

The South African housing policy is criticised mostly for its inability to address the past socio-economic injustices perpetrated by the apartheid regime and to ensure that all housing beneficiaries enjoy a better life. This was exacerbated by the size

of the houses as prescribed in the policy and the quality of the houses (Tissington, 2011:83). Existing literature in self-help housing points out that self-building through PHP [has] proved to be one of the most effective strategies in producing quality housing. Most of the houses built through this process were of better quality and bigger than those delivered through pure subsidy grants (Sukumar, 2001:18).

According to Marais, Ntema and Venter (2008:7) the South African approach on self-help housing policy is closely related to neoliberal arguments and it consequently became a mechanism of state control rather than a platform through which dweller-control could be fostered. It is argued that the absence of beneficiaries' involvement in the planning and erection of their own houses is among the reasons for beneficiaries to abandon their state allocated houses which directly contribute to the current housing backlogs in the human settlements space (Tissington, 2011:83).

The self-help implementation process must create an enabling environment where government rather than playing the role of housing provider, becomes the facilitator of the actions of all participants in the production and improvement of shelter. The State will only in specific cases, provide direct assistance, including housing or housing allowances, notably to people affected by disasters (natural or man-made) and to the most vulnerable groups in society. According to Evans (2007:11) a rights-based approach to development rejects the notion that people living in poverty can only meet their basic needs as passive recipients of charity. People should be the active subjects of their own development, as they seek to improve their own lives. The role of being development actors, including the State, should *inter alia* seek to build people's capabilities to realise their socio-economic rights. It is this thinking that led to the agreement that resulted in the formation of the SACTSP. Since 1960s, Cuba has followed a socialist housing development and policies. The policy led to the development of housing Brigades and Community Architecture Program, which provided technical assistance and guidance to people building their own homes (Valladares, 2013:10). The program's objective was to enable residents' participation in the design of their

houses, and the imparting of technical skills to the locals by the professionals to improve their socio-economic status.

The objectives of the SACTSP programme as stipulated in the bilateral agreement between the two countries are the following:

- i. Render technical support to accelerate the implementation of People's Housing Process (PHP) projects.
- ii. Promotion of community participation based on the Cuban housing experience.

It remains to be seen if the programme is achieving what it was initiated for, since its inception in 2002. The following questions are derived from the general purpose of this study:

- Is the implementation of the SACTSP effective in accelerating the development of People's Housing Process (PHP) projects and improving the lives of housing beneficiaries in South Africa?
- What are the challenges in the implementation of this programme?
- What needs to be improved in the running of this programme?
- How best can this programme be implemented in different participating provinces.

To achieve the purpose of the study, the following objectives were set:

- To analyse the environment, that led to the origin and the development of the SACTSP.
- To assess (against the international theoretical background) the development and applications of post-apartheid South Africa's self-help housing policy with special focus on government-aided self-help housing.
- To evaluate, by comparing housing case studies where CTAs were involved in assisting beneficiaries and cases where CTAs were not involved in assisting housing beneficiaries.
- To make recommendations that will help in the effective implementation of the SACTSP.



## 1.5 THE IMPORTANCE OF THE STUDY

It can also be safely argued that the SACTSP is controversial. The programme is controversial in the sense that not everybody in the South African building sector supports the programme (Department of Human Settlements, 2017:115). There are those who question the South African bilateral agreement with Cuba, and wondered if the response would be the same if other western countries such as United State of America (USA) and United Kingdom (UK) made a similar offer of partnership or would South Africa have rolled out the red carpet with speed as she did to Cuba (SAICE, 2014:7). The critics further argued that the Cuban's engineering skills are not recognised by the Engineering Council of South Africa because they are not part of the Washington Accord that governs international engineering qualifications. While they agreed about the shortage of civil engineers in the South African building sector, they believe that bringing in non-English-speaking Cuban engineers is not a long-term solution, since they will be here for three years (De Bruyn, 2015:3). "Our engineers need to get first choice. Should South African engineers be offered the same incentives as the Cuban engineers in rural communities, national and provincial infrastructure departments, and local authorities, they would probably be attracted to apply. The money spent on establishing and accommodating the Cubans engineers in South Africa could possibly be better spent re-looking at current salaries and working environments in these areas to the benefit of civil engineering professionals, a number of whom are unemployed, thereby creating sustainable jobs within South Africa" (De Bruyn, 2015:5).

The critics of the SACTSP suggested that the programme has nothing to do with the superior skills (social facilitations) provided by the CTAs to the housing beneficiaries. They see the programme as a gesture of gratitude by the South African ANC-led government for the generosity shown by the Cubans during the time of liberation. This study attempts to clear doubt whether the use of the CTA's by the South African provinces participating in the SACTSP is making a positive difference to the lives of the beneficiaries.

## **1.6 LIMITATIONS OF THE STUDY**

It is common practice that in this type of evaluatory research the baseline information should be collected from the same group that receives intervention (Rossi *et al.* 2004:303). In this case the baseline information was collected from the groups where the CTA's did not participate.

On the other hand, experimental methods are relatively weak in producing findings that can be generalized to other situations because they are usually conducted in rather controlled settings. Also, experiments tend to be used to test the effects of one component of a program at a time rather than the entire program (Yin, 2003:111).

Another limitation of the true or randomized experiment is that it is not well suited for evaluating programs in their early stages of implementation. If the program changes significantly before outcomes are measured, it will be difficult to determine which version of the program produced what effects (Rossi, Lipsey & Freeman, 2004:321).

## **1.7 ETHICAL CONSIDERATIONS**

According to Kumar (2014:241) and Kliem (2012:2), it is imperative for a researcher to uphold research ethics in order to avoid disapproval of their research studies. Ethical issues apply to the entire process of research and interviews. The main reason for this is as stated by Kliem (2012:2), that ethics distinguish good from bad and assist human beings to choose right over wrong. Ethics involve an agreement as regards what is regarded as wrong or right by a group of people living together. This agreement then serves as a guide to their daily, ethical behavior (Babbie & Mouton 2011:520).

The UNISA ethical policy requires researchers to obtain the approval of the heads of institutions in which the research will be conducted before commencing with their research studies. For the purposes of this study, the researcher requested approval to conduct the study from everyone - both the affected municipality and

the relevant provincial departments of Human Settlements (cf. Annexure C). All the research participants in this study participated in the study voluntarily and signed informed consent forms to serve as evidence that their participation was on a voluntary basis. In addition, the researcher explained the purpose of the study to them. The purpose of the study and some of the ethical considerations were also mentioned in the semi-structured questionnaire and on the informed consent forms. These ethical issues include matters of privacy, confidentiality, voluntary participation and anonymity, among others (Rallis & Rossman 2012:74), and they are further discussed in Chapter 4 of this thesis.

## **1.8 CLARIFICATION OF TERMS**

### **1.8.1 The South African-Cuban Technical Support Programme**

The South African-Cuban Technical Support Programme (SACTSP) resulted in the signing of a Bilateral Agreement between South Africa and Cuba in 2004. The two countries undertook to cooperate in Economic, Scientific, Technical and Commercial areas. The agreement further allows the employment of Cuban Technical Advisors (CTA's) in the relevant South African Provincial Departments of Housing. The programme is based on the co-operation agreement between the governments of South Africa and Cuba that provides a platform for the provinces to implement the technical support programme (Department of Human Settlements, 2017:3). The objectives of the programme as stipulated in the new bilateral agreement between the two countries are: to provide a framework to enable the South African government through its competent authority, to make use of the technical services rendered by the Cuban technical advisors identified by the Union de Empresas Constructoras Caribe (UNECA SA) within the context of the human settlements programmes launched by the South African government.

### **1.8.2 Cuban Technical Advisors**

Cuban Technical Advisors are recruited individuals of Cuban origin who are experts in the built environment, mostly Civil and Structural Engineers, Architects, and so forth etc. The CTAs are brought into South Africa through Union de

Empresas Constructoras Caribe (UNECA) and the National Department of Human Settlements to advise people working in the sector.

### **1.8.3 Housing beneficiaries**

Housing beneficiaries are those South African citizens who are entitled to receive houses as prescribed by the South African housing policy. To qualify to be housing beneficiary the following statements apply:

- You must have been on the municipal housing demand database (having proof of registration);
- You are over 18 years of age;
- Your monthly household income before deductions is less than R3 500;
- You or your partner has never received a subsidy from the government;
- You or your partner has never owned property; and
- You and your family will live on the property bought with the subsidy (Department of Housing, 2005:55).

Housing beneficiaries also include those who have already received their low-cost houses through a government subsidy scheme.

### **1.8.4 Self-help housing**

According to Turner (1972:43), self-help housing is a process where individuals decide to do something about their housing situation in order to uplift their quality of life. They use their own resources such as labour, savings, material and management ability. For Turner self-help requires the investment of both money and physical effort on the part of the participants. "It is upon the personal involvement of individuals that self-help rests".

In the same vein, Turner (1972) points out that self-help is an opportunity for people to explore, use and expand their own strengths and initiatives. As such, it provides people with a certain stimulation and incentive to improve their living conditions themselves. He furthermore asserts that self-help housing encourages human enterprise and gives people emotional satisfaction.

### **1.8.5 People's Housing Processes (PHP)**

The People's Housing Process must be seen as a form of self-help where communities build or organise the building of their houses. In South Africa, self-help housing was formally adopted in 1998 in the form of the People's Housing Process, which was seen as empowering communities in the various aspects of the housing delivery process. The PHP is understood as a way of enhancing the housing subsidy to go further by eliminating profit in housing delivery, and allowing beneficiaries to exercise a large degree of resilience, ingenuity and ability to look after their own housing needs (National Housing Code, 2000:67).

### **1.8.6 Service delivery**

According to Ngwake (2012:313), service delivery refers to the provision of public goods (e. g. housing and housing opportunities) and basic services by the government while Sebola (2012:409) is of the view that the service delivery processes should satisfy the needs of communities. In South Africa, the delivery of a housing service is facilitated at the provincial and local government levels. The national department develops and reviews housing policies.

### **1.8.7 Constitution**

A constitution is a country's basic law that creates political institutions, allocates power within government and often provides guarantees to citizens. A constitution embodies the fundamental principles of a government and establishes the basic structures and procedures in terms of which the government operates to uphold those principles, both written and unwritten (Deardorf, 2013:35).

### **1.8.7 Municipality**

The Local Government: Municipality Structures Act (117 of 1998) defines a municipality as a state organ vested within the local government sphere and consisting of political structures, office-bearers and administrative staff. This is affirmed by the South African Local Government Association (2011:5) which states

that a municipality is a state organ that consists of political and administration structures such as a municipal council and the communities residing in the municipal council's area of jurisdiction. Municipalities have legislated government authorities which provide them with the right to launch their own initiatives as far as the local government affairs of their communities are concerned. These government authorities encompass legislative, executive and judicial powers. The executive authority of municipalities involves public policy and decision-making powers while the legislative authority is exercised through making and administering by-laws. Nealer *et al.* (2007:5) regard a municipality as a state organ within local government that exercises legislative and executive authority.

#### **1.8.9 Human settlements**

Human settlements define people's existence. They are places – large and small, urban and rural, formal and informal - where people live, learn, work and create. Human settlements are referred to in the housing sector as a way in which government strives for the establishment of viable, socially and economically integrated communities which are situated in areas allowing convenient access to economic opportunities, health, educational and social amenities and within which South Africa's people will have access on a progressive basis to: a permanent residential structure with secure tenure, ensuring privacy and providing adequate protection against the elements; and potable water adequate sanitary facilities including waste disposal and domestic electricity supply. The understanding is that human settlements are not just about building houses. The concept is about transforming cities, towns and building cohesive, sustainable and caring communities with closer access to work and social amenities including sport and recreation facilities.

#### **1.8.10 Informal settlements**

An informal settlement is an unplanned settlement on land that has not been surveyed or proclaimed as residential, consisting mainly of informal dwellings (shacks). Informal dwellings refer to a makeshift structure not approved by a local authority and not intended as a permanent dwelling. The 2009 National Housing

Code of Informal Settlement Upgrading Programme identified informal settlements on the basis of the following:

- Illegality and informality;
- Inappropriate location;
- Restricted public and private sector investment;
- Poverty and vulnerability; and
- Social stress (Huchzermeyer, 2011:79).

#### **1.8.11 UNECA (Union de Empresas Constructoras Caribe)**

The Union of Caribbean Construction Companies, known by UNECA SA, is a Cuban Corporation, with more than 30 years of experience in construction, both in Cuba and in different countries of the world, currently dedicated to the export of construction- and engineering services.

### **1.9 CHAPTERS OUTLINE**

The purpose of this section is to provide an overview of the study layout in order to address the research problem in this thesis. Including this introductory chapter, the study will be comprised of five chapters outlined as follows:

Chapter 1, **Introduction and background of the study**, provides the reader with relevant information on the background of the research project, the problem statement, the purpose and the objectives of the research project. This chapter provides important details regarding the reasons why this study is worthwhile as well as to encourage the reader to read through this document with great interest. The main objective of this research is stated in order to inform the reader as to what has to be achieved at the end of this research project. For these reasons it is essential to provide a detailed and informative overview of the research project in Chapter one.

Chapter 2, **Literature review**, provides a detailed literature review on housing policies debates putting more focus on current trends in self-help housing, thus locating the SACTSP within this context.

Chapter 3, **Legislation and Statutes governing Human Settlements development in South Africa**, explains the main legislation, statutory and policy documents that guide development in the South African Human Settlements' space. It further describes South African Cuban relations and the SACTSP.

Chapter 4, **Research Methodology**, states what research approach the researcher has used, as well as details regarding the population and sample used. Information regarding the research design and the measurement instrument will be included. This chapter basically indicates to the reader exactly how the information needed was obtained as well as the means by which the data was analysed and interpreted.

Chapter 5, **Analysis and results**, can be seen as this research project's most "valuable" chapter, because all the results are documented in this chapter and contains detailed information in support of the findings.

Chapter 6, **Recommendations and conclusion**, provides an overall conclusion to the whole study, determining whether the research questions were answered, stating limitations and providing recommendations for further research to be done in this field

## **1.10 CONCLUSION**

This chapter is aimed at introducing the research by painting a general background of the current situation in the South African Human Settlements space. The chapter addressed some of the challenges that are seen as the stumbling blocks to the current housing service delivery. The challenges include among others; the shift in policy, thus the original housing policy to BNG policy; the ever escalating cost of housing materials; the shift from informal settlements eradication to informal settlements upgrading.



The status on the implementation of Self-Help Housing (in a form of PHP) within the South African human settlements context is also highlighted. The People's Housing Process is a form of self-help where communities build or organize the building of their houses. In South Africa, self-help housing was formally adopted in 1998 in the form of the People's Housing Process, which was seen as empowering communities in the various aspects of the housing delivery process. The PHP is understood as a way of enhancing the housing subsidy to go further by eliminating profit in housing delivery, and allowing beneficiaries to exercise a large degree of resilience, ingenuity and ability to look after their own housing needs (Marais, 2003:121). The South African Cuban Technical Support Program (SACTSP) was established to assist in the implementation of the PHP programme. It is in this first chapter that the research problem and the importance of the study is highlighted.

The next chapter is predominately on literature reviews aimed at drawing a bigger picture and understanding on the chosen topic of the study.

## **CHAPTER 2 : LITERATURE REVIEW**

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### **2.1 INTRODUCTION**

This part of the study provides a general review of the literature on housing development approaches, particularly the self-help approach as it is the broader housing delivery approach where the SACTSP can be located. The chapter reviews both the theoretical debate and empirical literature in relation to the objectives of the research. In order to build the theoretical and empirical foundations for the study, the literature was reviewed to explore the following concepts; self-help housing; the dynamics of Cuban housing policy, community and beneficiaries' participation. These concepts are first reviewed at global scale before they are reduced to the South African situation to align with the purpose of the research. The review is not simply a description of what others have published in the area of housing challenges and approaches to housing delivery, but rather takes the form of a critical discussion, showing insights and detailed information and different arguments about the above-mentioned concepts.

State-driven housing entails a direct role for the State as developer, financier and/or contractor in the housing-development. Literature indicates that there probably is a direct link between the ever-increasing rate of squatter settlements in different parts of the world, especially in developing countries and people's inability to afford conventional housing (Hamdi, 2010:9). In order to address the increasing growth in informal settlements, many governments turned to a State-driven method of housing delivery in the 1950s and 1960s. Yet, many housing agencies in the Third World soon realised that they had neither the necessary funds nor – to some extent – the know-how, to house all the poor families at the standards adopted as part of the conventional state-driven approach (Yeboah, 2005:62). Consequently, by the 1970s, housing policies emphasising construction programmes sponsored by the public sector providing finished dwelling units to poor urban families were severely criticised in many developing countries. The inevitable outcome of this mismatch between demand and supply was the further growth of squatter settlements, owner-built housing, increased densities in existing

low-income areas and the general rise of the self-help paradigm since the 1960s (Hamdi, 2010:11).

Although there are indications of government involvement in housing before the Second World War in Europe (Marais *et al.*, 2008:228), the demolition of urban settlements during the Second World War further spurred direct state involvement in the post-war period.

Yet, international literature suggests that very few countries have actually managed to address their housing problems by means of state-driven approaches (Gilbert & Gugler, 1992:17). Government-driven housing delivery was commonly criticised for being unaffordable to the urban poor, and located far from both social and economic opportunities (Gilbert, 1997), for being supply driven rather than demand driven in nature (Marais *et al.*, 2008:231) and for the lack of cost-recovery for maintenance (Gilbert, 2002:1911). Other factors that feature prominently in literature are the lack of adequate and affordable land, too high building standards and the lack of locally available materials (Harris & Giles, 2003:180).

State-driven housing was not only unaffordable to the beneficiaries but state-driven housing meant large subsidies from the state, which in the long run proved not to be countries in Latin America and Africa (Purdy & Kwak, 2007:361) experienced the problem of too high housing subsidies, which meant that it had a negative impact on the available state finance (Awotona, 1999:75).

As already mentioned, the consequence of housing delivery driven by the public sector was the extraordinary growth in informal settlements. International literature suggests that because of poor housing and homelessness in developing countries, between 600 and 850 million urban dwellers in Latin America, Africa and Asia live in urban slums usually known for their cramped, overcrowded dwellings and cheap boarding houses or shelters built on illegally occupied or subdivided land (Alan, 2000:35; Ferguson & Navarrete, 2003:90; Mitlin, 2001:86; Stewart & Balchin, 2002:19).

According to the United Nations Centre for Human Settlements (UNCHS), 64% of the housing stock in low-income countries, and up to 85% of new housing are unauthorised (Kihato, 2014:361). Against this reality, Purdy and Kwak (2015:171) argue that direct public housing programmes in developing countries have been a failure, with direct public housing contributing only to approximately 10% of the total housing stock in general.

Despite the general failures of such programmes observed in most developing countries, there were exceptions. These exceptions were the low-income housing programmes implemented by governments in Singapore (where 85% of the population are housed by means of government housing provision), Hong Kong and Saudi Arabia (Berner, 2001:70; Keivani & Werna, 2001:38). In Hong Kong, the primary goal of government – through provision of low-income housing – was to ensure that no land would be occupied by informal settlers, but, instead, by profitable development.

The successes of Singapore and Saudi Arabia can be ascribed to a number of factors. Over a considerable period of time Singapore as a country has constantly succeeded in realising uninterrupted economic growth. At the core of such growth lay both the citizen's decreased dependency on state resources and a low population growth rate, especially amongst young adults. This therefore made it possible for the state to increase expenditure to fund its effort to provide the poor with housing (Yeboah, 2005:93).

Unlike in most developing countries where the land is still in the hands of the private owners, large portions of land in Singapore are owned by the state. This implies that in this country, the government does not budget for land costs during housing development (Marais, 2003:55).

Central to the successful delivery of low-income housing in Saudi Arabia is that that country generated much profit from its trade in oil. A large portion of that profit was channelled into sustaining government's effort to provide the urban poor with housing (Keivani & Werna, 2001:115).

Despite this small number of successful state-driven housing models, many governments in developing countries have recognised that they can neither build sufficient numbers of houses for the growing urban population, nor can they permit totally uncontrolled settlements. Thus, as a compromise, governments in these countries shifted their approach to one of low-income housing delivery, the idea of self-help enjoying much attention as a feasible solution to the housing needs of the urban poor while the developing countries were struggling to eradicate the problem of squatter settlements (Berner, 2001:95; Harris & Giles, 2003:37; Zhang *et al.*, 2003:54).

Thus, despite the good intentions behind state-driven housing, there can be little doubt that the state driven approach did not manage to alleviate the housing shortage in most of the developing world.

In the South African context adequate housing is recognised as part of the right to an adequate standard of living, and that it must meet the following minimum conditions: security of tenure; availability of services, materials, facilities and infrastructure. Some believe that the right to adequate housing requires the state to build housing for the entire population (UN-Habitat, 2009:13). This right can be implemented through an enabling approach to shelter where the government, rather than playing the role of housing provider, becomes the facilitator of the actions of all participants in the production and improvement of shelter. The State will only in specific cases, provide direct assistance, including housing or housing allowances, notably to people affected by disasters (natural or man-made) and to the most vulnerable groups in society. According to Evans (2007:9) a rights-based approach to development rejects the notion that people living in poverty can only meet their basic needs as passive recipients of charity. People should be the active subjects of their own development, as they seek to realise their rights. The role of development actors, including the state, should *inter alia* seek to build people's capabilities to realise their rights.

But too often public housing policies and private sector practices do not take into account the ability of low-income groups to earn, save, borrow and invest in housing. They do not consider the fact that, by using what means and strategies

are available to them, the urban poor have built their homes and made vast additions to their cities (Gattoni, 2009:21).

According to a report on the “economic impact of the South African government housing programmes, the government of South Africa in its endeavour to ensure the progressive realisation of the right to adequate housing, spent between 1994 and 2010 approximately R99 billion at 2010 values to deliver approximately 2.37 million houses and 687 500 stands (Department of Human Settlements, 2011:21). In spite of this impressive housing delivery record, South Africa has a housing backlog of about 2.3 million and about 2500 slums, and witnesses service delivery protests by citizens who demand houses and other services (Tomlinson, 2015:22). The former South African Minister of Human Settlements, Tokyo Sexwale is on record saying that, the current government approach is unsustainable and will never be the solution to the existing housing backlog. The un-sustainability of government’s welfare tendencies was also underscored by both President Jacob Zuma and the Secretary General of the ruling party (ANC) in various forums (SAICE, 2017:16).

It is evident that the plight of large numbers of the poorest of the poor have been addressed through the provision of the abovementioned 2.37 million homes and housing opportunities, it is the conviction of the South African government that “together we can do more” (Department of Human Settlements, 2016a:23). Thus, government continues to call for a collective effort with all citizens committed to working with government in order to create sustainable human settlements (Department of Human Settlements, 2016a:26).

The discussion above clearly demonstrates the importance of participation in democracy. Participation has also been deemed essential in development projects. There has been an increasing consensus in the involvement of beneficiaries in developmental projects. According to Cornwall (2002:11) ‘popular participation’ sought to transform development practice by involving people in projects intended to benefit them. This demonstrates the emphasis put on the need to include people in development projects, especially those that have an impact on their lives.

## **2.2 SELF-HELP HOUSING**

Much has been written on the origin of self-help in housing (Pugh, 2001:401). According to Pugh (2001:402) self-help housing is as old as humankind. In many cases, the idea of government support to enable families to build their own houses came from the people themselves, and not from governments or international experts (Harris, 1998; 2003). Various researchers have indicated that self-help has been a common phenomenon for centuries in a number of countries (Parnell & Hart, 1999:370), and that aided self-help was lobbied for, and practised, long before the rise of the ideas of Turner in the 1960s and 1970s. Thus, as pointed out by Harris (2003:247), the formulation of ideas on self-help may well be the result of western writers following, rather than leading, international trends. Harris and Giles (2003:180) cite the examples of Puerto Rico and India in the late 1930s and 1940s to illustrate this point. At the same time, aided self-help and the renewed emphasis on this approach in the 1960s and 1970s cannot be considered in isolation from the drive for government involvement in housing.

Although there are indications of government involvement in housing before the World War II, the demolishment of urban settlements during that war provided a further impetus for direct state involvement in a post-war period. Soon, government involvement in housing became conventional wisdom. However, international literature suggests that very few countries have actually managed to address their housing problems by means of state-driven approaches (Harris & Giles 2003:167). Government-driven housing has frequently been criticised for being too expensive (Rodell & Skinner, 1983:43), as well as for its peripheral location (Gilbert, 1997:21), the inability to provide enough units, and the lack of cost-recovery for maintenance purposes. It is against this background that Turner's work in Latin America became known (Turner, 1976:77).

### **2.2.1 Turner's theory on housing development**

Turner's contribution to analysing the housing problem in Low Density Cities (LDCs) was significant (Pugh, 2001:401). He was an architect by profession and

was actively involved in research and consultancy work during the 1960s and 1970s in Latin America (Ward, 1982:37). His work brought him into contact with thousands of low-income families who had settled in informal settlements after urbanisation. The 1960s were years of large-scale government-built rental housing to accommodate people in the cities. Turner soon started to criticise this approach to housing and the underlying assumptions, which determined government-built rental accommodation. As already pointed out, scholarly works have indicated that Turner was certainly not the first person to lobby for self-help, and that self-help had been conventional wisdom in some parts of Latin America before Turner committed his ideas to writing (Harris, 2003:245). Yet there can be little doubt that Turner's beliefs influenced policy; and he is probably the most frequently-cited author on self-help housing.

Turner based his work on a number of principles in respect of housing. In analysing Turner's ideas, one should realise that he theorised against a background of failure of the public sector to provide housing. He used concepts like "dweller satisfaction", "use value", "housing as a process" and "housing as a verb" in his writings (Turner, 1972:146). According to Turner, the value of a house lies in what it does for people rather than how it looks from the outside. He suggested that the function of a house cannot be equated with the material standard of the structure (Harris, 1999b:289). In other words, the structure is less important. In fact, Turner believed that the physical appearance should be the last aspect to consider in defining a house. He argued that access to employment, services, and social amenities were more important considerations.

In order to illustrate his argument, Turner (1976:73) compared what he called the "supportive shack" and the "oppressive house" (cf. Table 1.1 for a summary). In this paradox, a supportive shack provides shelter at a minimum cost and is usually well located (both for work and social activities). He saw the shack as providing admirable support for low-income groups and being a vehicle for the realisation of their expectations. In terms of cost, a shack dweller can construct his or her house for less than a modern house would cost, mainly due to cheaper labour costs and cheaper but sound materials. Turner saw the shack as a house-in-process which could be built according to the occupant's needs (Turner, 1972:152).



**Table 1.1: A comparison of the main attributes of the “supportive shack” and the “oppressive house”**

<b>“SUPPORTIVE SHACK”</b>	<b>“OPPRESSIVE HOUSE”</b>
Provides shelter at a relatively minimal cost.	Provides shelter at a relatively high cost
High use value (people are very positive about the house)	Low use value (people experience the house in a negative way)
Usually well located in terms of employment.	Not well located in terms of employment
Low rentals or tax.	High rentals
Cheap labour (dweller uses his. skills).	Machinery used (advanced technology)
Usually matches the users’ needs as the user is in control of the construction process	Frustrates the needs of its users as they have little say during planning and construction.

**Source: Turner, 1976:58**

The oppressive house, on the other hand, is unsatisfactory because the family spends most of its income on rent and service payments. This house is not built according to the needs of people (usually being a uniform structure). Turner (1976:127) argued that this was because of costs and the lack of flexibility in modern building technology. Modern housing labour technology makes use of machinery and formal employment. In contrast, a shack is built by the dwellers themselves as they usually possess some building skills.

Turner (1976:40) also noted that most government-built rental accommodation was not well located in terms of employment opportunities. This meant that the working family members had to spend income on transport. This affected their food budget and frequently led to poverty. In contrast, poverty in a shack is usually compensated for by access to utilities and employment.

The above analysis clearly explains why Turner argued that an individual residing in a shack is able to fulfil his or her expectations of owning a house. This house would be better constructed and meet the owner’s needs, more than one built by the public or private sector. A self-built house may be constructed gradually, using cheap labour, cheaper resources, and spare time in order to reduce costs. Turner considered government-built housing delivery an operation because it produced objects of high quality at great cost with low user value. Turner consequently suggested autonomous systems where the users would decide what type of houses they needed.

According to Turner (1976:101), the viability of any housing system depended on the efforts of the users and their will to invest those efforts. He believed that the major part of resources invested in housing should be possessed and controlled by the users themselves. The economies of housing depended on the users' resourcefulness. This means that the users would have the skills to build their houses as long as they had access to resources such as land and building material. Moreover, when people make some contribution to their dwellings, the personal responsibility of ownership increases and they can usually care for and manage the buildings effectively.

At low-income levels the demand and will to invest in housing are far greater than in the moderate income sector (Turner, 1976:101). Low-income groups stand a better chance of providing themselves with housing suited to their personal needs, unlike tenement renters and project buyers who usually have to take what is offered. The issue of authority over housing highlights another point, namely that of decision-making. Turner believed that when dwellers are free to control and make contributions to the design, construction or management of their housing, it stimulated individual and social wellbeing.

The value of a house, according to Turner (1976:26) lies in its function rather than in the resources required to construct it. Turner's comparison is not to justify poor housing, but demonstrates the futility of poor people living in shelters of a high architectural standard that do not meet their needs (for example close proximity to a place of employment) and income.

The practical implication of Turner's work is that governments should not provide those aspects of housing which people can provide for themselves. Consequently, Turner was a proponent of site-and-service schemes (referred to as "aided self-help" schemes) in terms of which governments had to take responsibility for the provision of basic services, and individual households were responsible for the construction of the housing unit (Pugh, 2001: 89).

### **2.2.3 Self-help: applications in the international arena**

The above section provided an overview of the fundamental aspects of self-help housing, and emphasised Turner's thinking on the subject. There can be no doubt that self-help (and the way it was justified and implemented) has been closely linked to social, political and ideological assumptions. This holds true, despite the fact that self-help has been practised in countries with centralised economies and countries with open economies. However, the question arises as to how self-help has been operationalised in practice, and to what degree Turner's idea of dweller-control was operationalised in reality. Ward (1982:99) has already mentioned the fact that one needs to distinguish between self-help initiated by individuals or communities (referred to by Ward as "workers"), and self-help initiated and controlled by the State. Overall, three distinct forms of self-help can be differentiated. The first form of self-help is effectuated without any aid from government. This variety has been practised world-wide for centuries by low and high income households (Hardy & Ward, 1984:217; Masotti *et al.*, 2011:75). The second form of self-help, which can be termed "aided self-help", comprises an approach in which site and service schemes have played a crucial role. The state assisted, to a large extent, to create an environment in which people could build for themselves. Commonly, these two forms of self-help have been motivated by a range of political economic arguments. For example, they reduce the costs for governments, and transfer costs to the individual, while at the same time making housing more affordable to the individual households (Masotti *et al.*, 2011:170).

Thirdly, however, the world has also seen self-help implemented through institutional organisations. Typically, this has involved the establishment of housing cooperatives. Such cooperatives were commonly used in India, Jordan, Bangladesh, Indonesia, Malaysia, Pakistan, Thailand, Iran, Cuba, Egypt, Botswana, Zimbabwe and Zambia (Khurana, 2001:23). Countries' responses to, and level of implementation of aided self-help vary considerably. Socialist states such as the Soviet Union, India (prior to the liberal approach that it has adopted during the past decade or two) and Cuba implemented self-help. The irony is that despite the fact that self-help was commonly associated with neo-liberalism, it was also implemented in countries with socialist policies. This suggests that the

labelling of self-help approaches as “neo-liberal” reflects a somewhat simplistic point of view (Sengupta, 2010:329).

Although, in Cuba, a specific attempt was made to prevent the commodification of self-help housing (houses could not be sold and ownership was not possible), self-help in this country did not escape the problem of double exploitation of workers (Anderson, 2009:211). At the same time, it provided an opportunity for the State to control housing processes. Kapur and Smith (2002:212) summarised Cuban housing policy by pointing out that, despite some changes in respect of policy, three elements remained central to policy, namely; housing as a right and not as a commodity; the pursuit of equity in housing development; and the role of the State as the primary decision-maker – though Anderson (2003:17) concludes that high levels of community participation were reached. The establishment of micro brigades was regarded as an effective manner to support government housing initiatives. However, Kapur and Smith (2002:287) argue that the introduction of micro brigades was a consequence of the state’s inability to manage and pay for a centralised housing-delivery model.

Self-help housing strategies have changed throughout different periods of times (Landman & Napier, 2010:11). While self-help housing may come naturally for the poor, its success requires different forms of assistance from NGOs and governmental agencies (Sengupta, 2010:324). Ideally, self-help approaches would include providing technical advice to facilitate citizen participation in different aspects of housing development. Such supports have long been advocated in many housing forums and academic circles.

A recent study by Masotti *et al.* (2011:34) showed that residents with no building experience depend on the goodwill of others to receive technical advice. Often, projects are delayed or poorly executed because of lack of expertise in building, and because uncoordinated construction methods and techniques tend to push up the cost of construction (Tunas & Peresthu, 2010:317). Aided self-help and the renewed emphasis on this approach in developing countries in the late 1960s and the early 1970s cannot be considered in isolation from the drive for government involvement in housing. In fact, aided self-help was largely a reaction to policies

promoting government-provided housing. Although there are indications of government involvement in housing before World War II, the demolition/destruction of urban settlements during that war provided a further impetus for direct state involvement in housing in Europe during the post-war period. This conventional wisdom soon spread to the developing countries. However, state-provided housing did not solve the housing problem, and informal settlements mushroomed in many developing countries. In these circumstances aided self-help became a logical response to address informal settlement developments.

Of further interest about aided self-help or site-and-services is the fact that, despite its neoliberal connotation, this type of self-help has been practised in open-market economies and also in socialist economies such as Cuba and India (Harris & Giles, 2003:185). It is in this context that looking at Cuba's success in codifying and extensively implementing a participatory design method may provide valuable lessons on how citizen participation in housing processes can be implemented and may suggest solutions to issues that have been identified elsewhere. It is of great importance for the purpose of this research to look at the dynamics of Cuban housing policy as it forms a foundation upon which the existence of the SACTSP was established.

## **2.3 THE DYNAMICS OF CUBAN HOUSING POLICY**

In 1959, Cuba was transformed from a nation led by foreign-based capitalist concerns into a centrally led socialist state. Along with almost every other social institution, housing policy dramatically departed from past policies. While Cuba's housing policies have changed over the past 43 years (Kapur & Smith, 2002:42), they have clearly been born from three guiding principles:

- Housing is a right, not a commodity.
- Housing should be equitable.
- The government is the primary decision maker.

### **2.3.1 The evolution of Post-Revolution Cuban Housing Policy.**

Housing provision received a relatively high priority in the immediate post-revolutionary period. Legislation was passed to provide security of tenure, to reduce rents and to transform many tenants into owners.

Soon after coming to power during the 1959 revolution, Fidel Castro sought to release the grip landlords held on Cuban properties with a 1960 Urban Reform Law that eliminated multiple ownership, gave renters a chance to buy their homes at low cost and made the state responsible for providing housing. Later updates to the law enshrined these principles, and the government now proudly claims that 85 per cent of Cubans own their homes (Nussbaum, 2007: On-line). However, Cuban law prohibits homeowners from selling their homes privately or buying properties because Castro believed land speculation violated socialist principles. As the economic crisis deepened when Soviet aid ceased in 1990, the previously small black market for housing burgeoned. Some Cubans sold their houses to earn extra money. Others sought to buy better houses with extra money they were receiving from families abroad or through jobs with foreign companies. The following discussion evaluates changes in Cuba's housing policies since the 1959 revolution and reports on the status of current housing conditions.

**1959 – 1963.** When Castro came to power, he passed housing-related legislation to halt evictions and roll back most rents by up to 50 per cent. Rather than nationalise urban land, the government sought to curtail speculation by requiring private owners to sell sites at low uniform prices to anyone willing to start construction. The 1960 Urban Reform Law accomplished this goal. The Urban Reform Law converted half of urban tenants into homeowners, and many tenants were given long-term rent-free leases. Other tenants enjoyed similar benefits since all units built or distributed by the government after 1961 were assigned leases at no more than 10% of household income that conveyed ownership of the unit after 5 - 20 years of payment. Most former owners were fully compensated for their losses, but landlords of slum tenement buildings received nothing from the government. In addition to this property redistribution other facets of the bill prohibited private renting and subletting, and it was illegal for households to own

more than one primary residence and one vacation home (Kapur & Smith, 2002:57).

**1963 – 1975.** Efforts of the Urban Reform Law were hindered by the US embargo that began in the early 1960s. The government demolished shantytowns but faced difficulty obtaining supplies for new housing construction. Several efforts began to replace the housing stock. For instance, residents built replacement housing through the Self-help and Mutual Aid Program. In addition, the government initiated an extensive program of new construction in rural areas in which owner-occupants made loans and technical assistance available for private construction. Facing fiscal constraints, the government strived to provide at least basic services. Latrines and cement floors were provided to 100,000 rural dwellings, and electricity and other urban infrastructure was extended to thousands of houses in low-income urban neighbourhoods (Pugh, 1994:80). In 1971 a novel form of sweat equity, the micro brigades, accompanied government investments. Under this system groups of employees from given workplaces would form brigades to build houses while other employees agreed to maintain production at current levels. Housing units were then allocated among the employees from that workplace. During 1971 to 1975 micro brigades expanded housing supplies, and state housing construction nearly tripled. The long term impact of the micro brigades' policies made absolute homelessness to be practically non-existent in Cuba.

**1976 – 1985.** The 1984 Housing Law better articulated the government's housing goals. In line with the 1960 Urban Reform Law, the Housing Law converted more leaseholders living in government-owned housing into homeowners (Hamberg, 1990:22). The Housing Law introduced greater flexibility into Cuba's housing policies. The Law permitted limited short-term private rentals, fostered self-built housing construction, and updated existing legislation regulating housing management, maintenance and repair, evictions, and the buying and selling of land and housing. The law sought to accomplish two main goals. Firstly, it sought to establish a dominant and uniform tenure status by converting leaseholds into homeowners and legalising most ambiguous or illegal situations. Secondly, it attempted to clarify responsibility for ordinary maintenance and major repairs (Hamberg, 1990:61). Residents of single family dwellings were responsible for

maintenance and repair of their own units while many high-rise condominiums were municipally managed in consultation with resident councils.

**1986 – 1990.** The 1984 Housing Law inspired greater demand for government housing, but declines in hard currency due to hardships experienced by the Russian economy prevented sufficient housing construction and repair. Micro brigades also weakened during the late 1980s. During this period, the Cuban government struggled to balance various housing distribution objectives such as economic development, equity, improving conditions for those in the worst situations, and combating corruption through collective public forms of allocation.

**1990 – Present.** The collapse of the Soviet Union and the Eastern Bloc economic trading partners sent a tremendous shock to Cuba's economy, with GDP falling by 35%. In order to prevent political upheaval and the total collapse of the socialist economy, the Cuban government turned to tourism and opened its markets to replace revenue the Soviet Union had contributed. Foreign firms were allowed to enter into joint ventures with the Cuban government, and foreign individuals who were not residents were allowed to purchase homes. In addition, Cuban residents were allowed to rent up to two rooms in their home to other Cubans or tourists (Anderson, 2009:20).

New housing construction dwindled following the collapse of the Soviet Union when Soviet aid to Cuba ceased. Cuba had little oil or other energy to produce the necessary building materials. With the most basic goods in desperate supply, and little oil or energy available to produce cement, production of the prefabricated panels needed for construction virtually ceased.

Ironically, the crisis turned new attention to one of the great needs in Cuba: repair and upkeep of existing units. In 1982, UNESCO designated the *Habana Vieja* district of Havana as a world heritage site. Yet many of the buildings in this area, and a total of 375,000 units citywide were in substandard condition and many were simply collapsing from years of neglect (Anderson, 2009:12). In order to promote *Habana Vieja* and Havana as a whole as desirable tourist destination, new



investments have been made in preserving the existing housing stock. Much of these investments have been financed through tourist-related ventures.

### **2.3.2 Today's challenges**

Cuba's housing programme was drastically affected by the economic crisis of the 1990s and the Special Period of austerity measures, which is still in place. According to Hamberg (1990:62), a key problem in the Cuban housing today is the absolute shortage of 'spare' dwellings for newly forming households. Population growth, combined with the added pressure from internal migration to Havana, means the city faces an absolute shortage of housing which results in severe overcrowding. "You don't have to meet many Cuban families to witness the sharing of one or two-room homes by three or more generations. The strong family culture means that people get by, but there is no doubt that immense pressures are placed on relationships and family life, simply due to housing conditions" (Hamberg, 1990:63).

While the images of crumbling colonial buildings in the older parts of Havana, may be only a partial representation of Cuban housing, there is little doubt that they present the most insurmountable challenge to the Cuban housing system.

Significant achievements in regeneration are evident in Old Havana (*Habana Vieja*) under the direction of the Office of the Official Historian of the City (Nussbaum, 2007: On-line).

Many of the most important historical buildings have now been fully restored and new shops, restaurants and other businesses thrive in the main tourist areas. But right next door, the district of *Centro Habana* (Central Havana) contains the most severe housing problems in the capital, with none of the resources which the old city centre has attracted.

Stewart and Balchin (2002:102) pointed out that many Cuban residents own their own houses, but due to the low wage *peso* economy, few have resources to undertake major repairs or improvements. In extreme cases, residents have died as structurally unsound buildings collapsed around them.

Britain has only recently recognised the importance of giving local people a say in what happens in their neighbourhoods – but people's participation in housing has

been a fundamental element of the Cuban system since the Revolution (Nussbaum, 2007: Online).

In 1987, the ***Grupo para el Desarrollo Integral de la Capital (GDIC)*** - the team of professionals was established as a solution for the redevelopment of Havana. The GDIC keenly promoted a participatory approach to working with local communities. An important initiative was the introduction of local workshops at the community level (Stewart & Balchin, 2002:102).

Small, interdisciplinary teams of professionals live in the neighbourhood and work with the community to address local issues in relation to housing, employment, the environment and social and cultural life. The economic situation has limited their ability to invest in the physical infrastructure, but energies have been redirected into social and community activities aimed at relieving the worst impacts of poverty and poor housing.

Cuba is currently moving into a new era in resident participation in housing projects. It is recognised that the old-style micro-brigades were essentially a self-help labour force for implementing state policy. Today, residents can get involved in the detailed design of their homes from start to finish. New projects are on a much smaller scale but the level of local participation is much more intensive.

Local participation cannot be fully discussed without mentioning the concept of "Community Architects". Community Architects is one of Habitat-Cuba's exciting programmes. Since the initiative began in 1995, about 500 architects, mostly women, have been advising owners who wish to improve or renovate their units. The entire family, including children, meets with the architect for an initial discussion. The architect then returns with alternative concepts, and a second family gathering takes place before plans are finalised. Habitat-Cuba also has started a movement exploring alternative local materials for housing construction, especially clay and bamboo. Due its weak economy, architects have had to adjust to available materials since imports are expensive and Cuba has no indigenous wood. Bamboo promises to be useful for housing carpentry and furniture, and plant species may be applicable in different regions. Thus far, these materials have been best suited for constructing small-scale housing projects, primarily in rural areas where people prefer lower-scale housing (Hamberg, 1990:63). The

Cuban housing authorities insist that the participation of the local community remains at the heart of the process. Cuba's culture of mass participation in social, political and cultural life presents a solid basis for resident involvement in the housing projects.

The Cuban Revolution has sought to provide secure, adequate, affordable housing for all of the population. But population change and the current economic circumstances have severely undermined progress made prior to the Special Period. Today, Cuba urgently needs to attract resources for house building, renovation and wider renewal processes (Nussbaum, 2007: Online).

The need is great and the country misses out on many of the aid programmes available to other developing countries because of its steadfast resistance to neo-liberal economic principles which are often conditions of such aid.

### **2.3.3 The uniquely Cuban reality**

Havana's housing situation, like all subjects having to do with Cuba, suffers the anticipated fate of being characterised as an anomaly when considered in academic context. Havana is the exception to the rule of global mega-city capitals in that its housing policy is recognised as having spared the city the fate of so many other metropolitan areas of the Third World at the not insignificant price of decades of progressive deterioration in the preservation of the physical and technical infrastructure (Coyula, 1996:32). While Cuba is known for its severe deficit of habitable dwellings, the Cuban situation is considered to be less critical than the housing shortages suffered by its Latin American counterparts (Mathey, 1989:17). A significant reason for this, according to Jill Hamberg, is that "Cuba has been almost uniquely successful among developing nations in channelling most internal migration away from the capital and toward provincial capitals and other cities and towns, a feat accomplished *without* direct administrative measures to control internal migration.

Cuba is also singled out for its uniqueness in that its micro brigades, while so important within the Cuban context, are not largely utilised in other countries mostly because of their emphasis on the collective and their disregard for market

ideology so prevalent in other parts of both the First and Third World: The difference may be that in Cuba this extra work invested by the *Microbrigadistas* is not transformed into 'surplus value' to be appropriated by a capitalist class, instead the output takes the form of a physical product which can be experienced, directly or indirectly, by everybody (Mathey, 1989:29).

## **2.4 THE CONCEPT OF COMMUNITY AND BENEFICIARY PARTICIPATION**

The past several decades of development funding (e. g. World Bank in Africa) has demonstrated the failures of top-down approaches to development. Not only does the provision of public goods remain low in developing nations, most projects suffer from a lack of sustainability. A possible reason for these failures is attributed to the lack of local community participation. Since the 1980s the new development slogan has been "participatory or community-led development" and there has been a rush to jump on the participatory bandwagon. Such community-based approaches to development "are among the fastest growing mechanisms for channelling development assistance and according to conservative calculations, the World Bank's lending for community-driven development (CDD) projects has gone up from \$325 million in 1996, to \$2 billion in 2003" (Mansuri & Rao, 2003:71). This trend is supported by anecdotal and empirical evidence suggesting community participation is an unqualified good in terms of project outcomes and sustainability (Narayan, 1995:98). However, despite such interest there is much less understanding of, and even lesser agreement on, what community participation means and entails, and under what conditions is it necessary. There is a real danger that like most slogans, participation too will be misunderstood, misapplied and eventually discarded.

### **2.4.1 Community participation defined**

The focus of this section is to provide an explanation for the term "community participation," as one of the concepts central to this research. The definitions presented by various theorists have been presented in an effort to give a comprehensive overview of the term. Following closely the definition of community

participation, also discussed are critical issues related to it such as the stages and levels of participation and the need for it.

Participation is a rich concept that varies with its application and definition. The way participation is defined also depends on the context in which it occurs. For some, it is a matter of principle; for others, practice; for still others, an end in itself (World Bank, 2008:481). Often the term participation is modified with adjectives, resulting in terms such as community participation, citizen participation, people's participation, public participation, popular participation or even beneficiary participation as used in this study.

According to Rifkin and Kangere (2002:37) participation is a means to educate citizens and to increase their competence. It is a vehicle for influencing decisions that affect the lives of citizens and an avenue for transferring political power. However, it can also be a method to co-opt dissent, a mechanism for ensuring the receptivity, sensitivity, and even accountability of social services to the consumers. Chappel (1997:20) suggests that citizen participation may also be a response to the traditional sense of powerlessness felt by the general public when it comes to influencing government decisions: "people often feel that health and social services are beyond their control because the decisions are made outside their community by unknown bureaucrats and technocrats". Westergaard (1986:2) defined participation as "collective efforts to increase and exercise control over resources and institutions on the part of groups and movements of those hitherto excluded from control". Community participation means some form of involvement of people, with similar needs and goals, in decisions affecting their lives. Abrams (1971:31) defines community participation as, the theory that the local community should be given an active role in programs and improvements directly affecting it". It is only rational to give control of affairs and decisions to people most affected by them. Besides, since no government or authority has the means to solve all the public problems adequately, it is necessary to involve people in matters that affect them.

The advocates of community participation believe that it brings many lasting benefits to people instead of only a means of getting things done. Arnstein

associates citizen participation with citizen power and control as, “the redistribution of power that enables the have-not citizens, presently excluded from the political and economic processes, to be deliberately included in the future” (Arnstein, 1969:34). Buckley *et al.* (1993:63) explains that participation is “inherently good” that it brings people together in creating and making decisions about their environment. Since people are actively involved in the process, Buckley argues that participation helps promote a sense of ownership and control among the people.

The World Bank’s Learning Group on Participatory Development defines community participation as “a process through which stakeholders influence and share control over development initiatives, and the decisions and resources which affect them”. A descriptive definition of participation programmes would imply the involvement of a significant number of persons in situations or actions that enhance their well-being, for example, their income, security, or self-esteem. Hamdi, states that the ideal conditions contributing towards meaningful participation can be discussed from three aspects:

- What kind of participation is under consideration?
- Who participates in it?
- How does participation occur? (Hamdi, 2010:293)

Evens (1974:59) also points out the importance of the following issues in order to assess the extent of community participation:

- Who participates?
- What do people participate in?
- Why do people participate? There are:
  - Cultural explanations (values, norms, and roles, etc.);
  - Cognitive explanations (verbal skills and knowledge about the organisations);
  - Structural explanations (alternatives, resources available, and the nature. of the benefit sought); and
- Implications (how the benefit contributes to the ends or principles they value).

The significance of beneficiary participation is said to draw from three main factors. Primarily, it is alleged to allow for cost reduction through the utilization of local labour and expertise (Davidson *et al.*, 2007:111). Secondly, it potentially leads to the implementation of appropriate responses through the involvement of locals in collective decision-making, through the assessment of their needs and expectations. Thirdly, it helps in directing scarce resources towards the more needy, identified by fellow locals (Mayavo, 2002:13). Beneficiary participation is perceived as an undertaking that results in the empowerment of the local population. However, it also has much non-benevolent political significances. It is referred to as a curious element in the democratic decision-making process.

Mansuri and Rao (2003:16) defined community participation as the process by which individuals, families, or communities assume responsibility for their own welfare and develop a capacity to contribute to their own and the community's development. In the context of development, community participation refers to an active process whereby beneficiaries influence the direction and execution of development projects rather than merely receive a share of project benefits. Paul's five objectives to which community participation might contribute are:

- Sharing project costs: participants are asked to contribute money or labour (and occasionally goods) during the project's implementation or operational stages.
- Increasing project efficiency: beneficiary consultation during project planning or beneficiary involvement in the management of project implementation or operation.
- Increasing project effectiveness: greater beneficiary involvement to help ensure that the project achieves its objectives and that benefits go to the intended groups.
- Building beneficiary capacity: either through ensuring that participants are actively involved in project planning and implementation or through formal or informal training and consciousness-raising activities.
- Increasing empowerment: defined as seeking to increase the control of the underprivileged sectors of society over the resources and decisions affecting

their lives and their participation in the benefits produced by the society in which they live (Paul, 1987:91).

In principle, beneficiary participation requires the involvement of local actors in the conceptualisation, implementation, monitoring and evaluation of projects. In practice it sometimes tends to be confined to specific activities (Mafukidze & Hoosen, 2009:380). As such, beneficiary participation can further be referred to as local involvement within a continuum of possibilities where locals may participate only as providers of labour, in decision-making or at all levels (Davidson *et al.*, 2006:111).

In some housing development, beneficiary participation could be confined to the discussion of a proposed idea of building low-income houses. For instance, the Reconstruction and Development Programme (RDP) capital subsidy low-income housing under consideration in this present study considers a minimal involvement from the local population as a most participatory process is simply aimed at bringing them together to endorse an idea rather than to achieve empowerment, contribution of ideas and capacity building (Khan & Haupt, 2006:53).

Also, Jennings (2000:52) infers that participation refers to involvement by local populations in the creation, content and conducting of a programme or policy designed to change their lives. Beneficiary participation requires recognition and use of beneficiaries' capacities and avoids the imposition of priorities from the outside. It increases the odds that a programme will be on target and its results will more likely be sustainable and satisfactory to meet the needs and expectation of the beneficiaries. Ultimately, participatory development is driven by a belief in the importance of entrusting citizens with the responsibility of shaping their own future. Likewise, the World Bank Resource Book (1996:10) defined participation as a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them. In this perspective, the benefits of participatory development are perceived to be self-evident.

Furthermore, Sukumar (2001:172) argues that participation is defined as members of the public taking part in any of the processes of formulation, passage and



implementation of public policies. This is seen as a wide-ranging definition, which extends the emphasis of beneficiary participation beyond the development of policy, to decision-making (outlining their needs and expectations, and what is most important to them in the proposed housing units) and implementation.

Meyer and Theodori (2001:622) attempting to conceptualize participation as people's rights, defined beneficiary participation as an active process by which the beneficiary influences the direction and execution of a development project with a view to enhancing their well-being, in terms of income, personal growth, self-reliance and other values they cherish, thereby guaranteeing their housing satisfaction and eventually good quality of life with respect to housing development. This definition helps to understand that the process does not deviate from the objective of authentic and empowering beneficiary participation. In addition, beneficiary participation and its processes is being emphasized as a fundamental part of peoples' rights to choose how they are governed and how they, together with the governments, carry out the work of development (Long, 2001:96).

Kotze and Kellerman (1997:31) posit that participation has two definitions with opposite meanings. According to him participation can either represent assigning certain decisive roles to the users, where they share the decision-making responsibility with the professionals, in guiding them to design satisfactory buildings. The other type of participation is where there is no shift of responsibilities between the users and professionals but instead only the opinion of the user is considered while making decisions. Beneficiary participation also means some form of involvement of people, with similar needs and goals, in decisions affecting their lives. Abrams (1971:19) also defined it as a theory that the local community should be given an active role in the programme and improvements directly affecting them. However, it should be noted that it is rational to give control of affairs and decisions to people most affected by them. Moreover, since no government or authority has the means to solve all the public's problems adequately, it is necessary to involve people, mostly the low-income groups/poor in matters that affect them, because they might not have the opportunity to express their needs and expectations with regard to the functionality of the

housing unit that will be most suitable for them. However, delegating powers to people to make decisions concerning them when their financial contribution is meaningless with a limited level of knowledge is not an easy task and involves great inquiry into the change in the attitudes of the authorities and professionals (Davy, 2006:18). Furthermore, Hamdi (1991:60) informs that beneficiary participation is a 'powerful idea', which refers to the process by which professionals, families, community groups, government officials, and others get together to work something out, preferably in a formal or informal partnership. Kihato (2014:340) emphasised the importance of beneficiary participation, arguing that involvement gives people a better understanding of their own interests and the interests of others, and, in some cases, brings them to see what would be best for the entire group. However, this depends on the level at which beneficiaries are involved.

Beneficiary participation in housing delivery, and as used in this thesis, agrees with the aforementioned definitions and can be summarised as a localised collective learning process. This is where all stakeholders acquire and share information and learn to accept responsibility for decisions, whilst working towards achieving the shared objective of improving their lives and housing delivery. The definition acknowledges and tolerates the interest of different knowledge, pursuit of cooperation and deliberate minimisation of clashes along interest, knowledge and power lines, which reinforces beneficiary participation. Thus, is enabled the eventual satisfaction of the beneficiaries of the subsidised houses being constructed and allocated to them by the government.

According to Whyte (2005:37) there are three distinct kinds of local participation which included the following:

- Beneficiary involvement in the planning and implementation of externally initiated projects or community participation.
- External help to strengthen or create local organisations, but without reference to a particular project, or local organisational development.
- Spontaneous activities of local organisations that have not resulted from outside assistance or indigenous local participation.

The first two are externally promoted participatory approaches used by governments, donors, or NGOs, while the third is the kind of social organisation that has evolved independently of (or despite) outside interventions. At a community level, there is a separation of community participation into two distinct approaches: (1) the community development movement and (2) community involvement through conscientisation. The basis of conscientisation, according to Rubin (2011:483), started from “the existence of socioeconomic inequalities, the generation of these by the economic system, and their underpinning by the state.

In the context of housing projects’ community participation is a notion where members of the communities and beneficiaries are in control of the whole process from planning the house designs and public spaces thereof, to taking decisions on all aspects of the project implementation such as decisions regarding who to partner with where necessary, and with whom to do the actual construction of the houses (Development Action Group, 2011:47). The participation of citizens should therefore not be limited to being consulted in order for them to accept decisions taken by housing specialists. They must be involved in all housing development processes, such as, discussing, deciding, and evaluating results in a participative exercise (De la Vega Pena, 2006:39). This is contrary to the conventional housing projects’ implementation particularly housing projects targeting the poor or low-income earners, where communities have very little to say on the implementation of the projects as professionals always take all decisions. Community participation cannot be divorced from development. According to John Turner, participation does not necessarily imply self-help home building by undernourished and over-worked people without credit, with inadequate tools and poor materials. The central issue is that of control and power to decide (Turner, 1976:74).

#### **2.4.2 Origin of beneficiary participation**

Beneficiary participation in the public sector, particularly in the human settlements space, has undergone a significant change. Prior to this, people were more tolerant of poor service deliveries; more patient in long queues and enduring inefficient public administration than they are now (Olivier, 2003:17). Nowadays,

people are expecting quality delivery of public services and are beginning to hold elected representatives increasingly accountable, when their expectations are not met. Hence, the origin of beneficiary participation can probably be traced to three root sources, which are: participation as good development project practice (Abbot, 1996:33); participation as good governance and participation as political empowerment (Bond, 2001:239; Freire, 2000:181). These concepts are discussed below in detail.

#### **2.4.3 Participation as good development project practice**

According to Rahnema (1992:121), participation was first used in the early 1950s by social activists and project field workers, as a necessary facet of development. In addition, the World Bank, and other international agencies, as well as the Development Bank of Southern Africa (DBSA) have since taken the notion of participation as a requirement for successful project implementation in society. Hence, it has become a common practice to include some or other form of public participation in the implementation of infrastructure projects within development initiatives. A large amount of development work case studies tends to focus on project specific participation and it is arguably the most well-known participation frame of reference (Olivier, 2003:23).

#### **2.4.4 Participation as good governance**

The United Nations Development Programme (UNDP) defines governance as the exercise of economic, political, and administrative authority to manage a country's affairs at all levels and the means by which states promote social cohesion and integration, to ensure the well-being of their population. This entails all methods used to distribute power and manage public resources, and the organisations that shape government and the execution of policy (UNDP, 1998:220). Governance also encompasses the mechanisms, processes and institutions, through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and resolve their differences. According to this definition, good governance therefore depends on public participation to ensure that political, social and economic priorities are based on a broad collective agreement and that

the poorest and most vulnerable populations can directly influence political decision making, particularly with respect to the allocation of development resources. Good governance is also effective and equitable, and promotes the rule of law and the transparency of institutions, officials, and transactions (UNDP, 1998:271).

Participation by the citizens of a state is a key cornerstone of good governance. Participation could be either direct or through legitimate intermediate institutions or representatives. However, it should be noted that representative democracy does not necessarily mean that the concerns of the most vulnerable in society would be taken into consideration in decision-making, but it does create a platform for participation with the vulnerable in the society.

Participation needs to be informed and organised. This means freedom of association and expression on the one hand and an organised civil society on the other hand. Good governance has eight major characteristics. It is participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive and follows the rule of law. It guarantees that corruption is curtailed, the views of minorities are taken into account and that the voices of the most vulnerable in society are heard in the decision-making process. It is also responsive to the present and future needs of society.

Lastly, participation as good governance refers to a high quality of processes by which decisions affecting public affairs are reached and implemented. This process ensures that all, including the poor and other disadvantaged groups, are included and have the means to influence the direction of development in particular as far as it affects their lives. Also, to make contributions to development and have these recognised and to share in the benefits of development and to improve their lives and livelihood. Participation as good governance helps to ensure that all people have adequate access to basic services.

#### **2.4.5 Participation as political empowerment**

The empowerment approach to participation is located within the radical paradigm of alternative development and is manifested in the mobilization of popular political power. This originated from the economic development theory and theories of development. This approach positions participation within a broader political struggle that links the condition of under-development with access to political power (Freire, 2000:181). Originally, this tradition found expression in popular resistance movements within South America, Asia and South Africa (Bond, 2001:239).

These three approaches to participation sometimes intermingle and sometimes are confusing in practical engagement between the government and communities. From the above, it should be noted that there is no single universally applicable or perfect model of participation. It is important to recognise different circumstances require a different style of participation from authorities. However, the responsibility is to understand the context within which communities are engaged, so as to design the most appropriate participative mechanism and process.

#### **2.4.6 Stages and levels of community participation.**

In order to expand the discussion of community participation further, it is important to develop an understanding of the different phases or stages of the housing process. Turner divides community participation within the housing context into three basic components; planning, construction and management (Turner, 1976:64). Hamdi (2010:93) adds two more stages to the overall process; initiation, planning, design, implementation and maintenance. Initiation is the first stage of the process where the project goals and scope are defined. The planning stage involves working out the project details, budgeting and resource identification. In the design stage, the details are further developed, with the actual execution of the project in the implementation or construction phase. The maintenance or management stage is a long-term process and involves the upkeep of the project (Hamdi,1995:13). The involvement of communities at different stages of the project determines the level of participation in projects.

Probably the best way to explain different levels of participation in terms of community involvement in various stages of the projects is by understanding what Sherry R. Arnstein calls “a ladder of citizen participation” (Arnstein, 1969:163). Arnstein explains that this classification is necessary to unveil the manipulation of people in the garb of community participation projects by professionals and policyholders (Arnstein, 1969:163). The ladder has eight rungs each corresponding to a different level of participation, that is, manipulation, therapy, informing, consultation, placation, partnership, delegated power and citizen control as shown in Figure 1.1.

The rungs at the bottom of the ladder are the ones with least citizen participation or “nonparticipation” and include Manipulation and Therapy. Informing, consultation and placation occupy the middle rungs of the ladder and border between manipulation at the bottom and citizen control at the top and is termed as “tokenism” where the people are allowed to participate only to the extent of expressing their views but have no real say that matters. The last three rungs, partnership, delegated power and finally citizen control at the top of the ladder, are termed equivalent to “citizen power” and this is where true and meaningful participation takes place (Arnstein, 1969:163). This categorisation of the various types of people involvement is extremely crucial in clarifying the confusion between “non-participation” and true “citizen power” and to identify the real motives behind participatory projects, which are often used by critics as shortcomings of the concept of community participation.

### Eight rungs on the Ladder of Citizen Participation

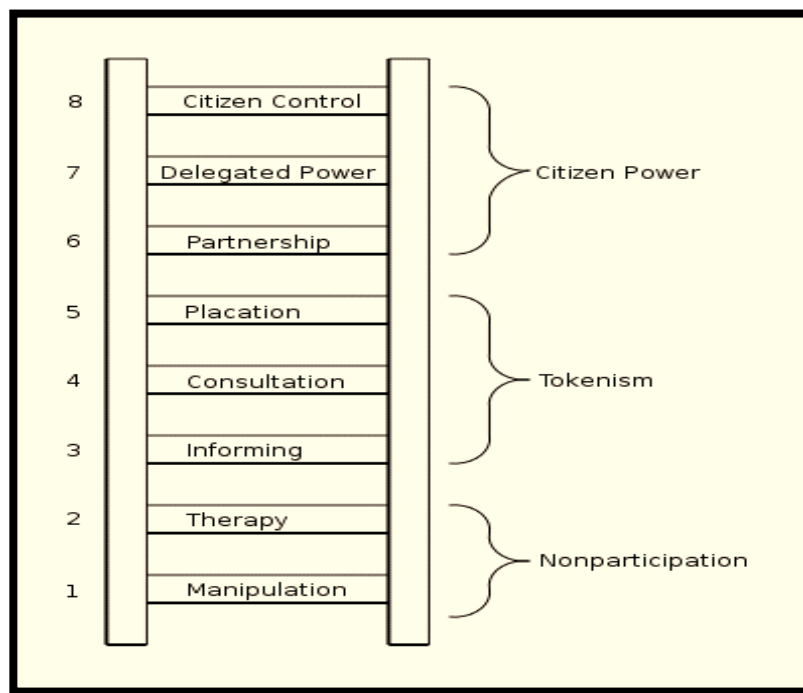


Figure 1.1: Illustration from Sherry Arnstein (Arnstein,1969)

#### 2.4.7 Top-down versus bottom-up approaches

According to Moser (1991:1281), community participation can be of two types; in the form of top-down programs or bottom-up initiatives. These two processes are the exact opposites of each other and differ on the basis of whether governments' implementing agencies or the communities have the overall control of the programme. John F.C. Turner elaborates the top-down and bottom-up approaches by comparing them with the what he called 'heteronomous housing systems' and the 'autonomous housing systems' respectively (Turner, 1976:95). He explains his concept by using the diagrams as shown, where the difference between the two systems is in the decision-making power of different actors at different stages of the housing process.

In the case of the heteronomous system, Turner explains that the government decides and provides housing for the people in a top-down process while the autonomous system follows a bottom-up approach and has different networks of actors working alongside in different relationships (Turner, 1976:87).



To add to Turner's argument, Johnson (1983:52) in his book, *Development in South Asia*, explains the top down and bottom-up developmental approaches using a simple example of the construction of a dam and the improved agricultural production as a result. In most cases, the dam construction is a top-down development process where all the decisions are made by the government or other agencies without seeking the consent of the people. Johnson explains that there can be a bottom-up development as well where the people may decide to adopt modern agricultural technologies to improve the overall production. Now these are two different kinds of developments, one is imposed while the other is self-chosen by the people. Johnson points out that there can sometimes be an overlap between top-down and bottom-up development, in this case, the government's decision to improve the water supply system overlaps with the people's decision to adopt new technology (Johnson, 1983:57).

#### **2.4.8 The partnership approach**

Moser explains in *Community Participation in Urban Projects in the Third World*, that by the end of the 1960s, bottom-up community participation initiatives started to surface along with top-down participation programs in the form of squatter settlements around the world. These bottom-up initiatives of the community in order to house themselves resulted after the failures of top-down housing projects in different cities of the world and were initially met with resistance by governments (Moser, 1991:104). However, Moser explains that by the 1970s, many Third World governments and donor agencies realized the potential of these community-based initiatives which resulted in a major change of approach in housing in the form of upgrading and sites and services projects.

Reddy, explains that in the top-down model of participation (cf. Figure 1.2), the governments decide and provide for the communities, which develops a sense of dependency and lethargy among the people. He presents an alternative to the top-down model in the form of a "partnership model" where the governments and communities work together in planning and decision-making with long-lasting results (Reddy, 2002:62).

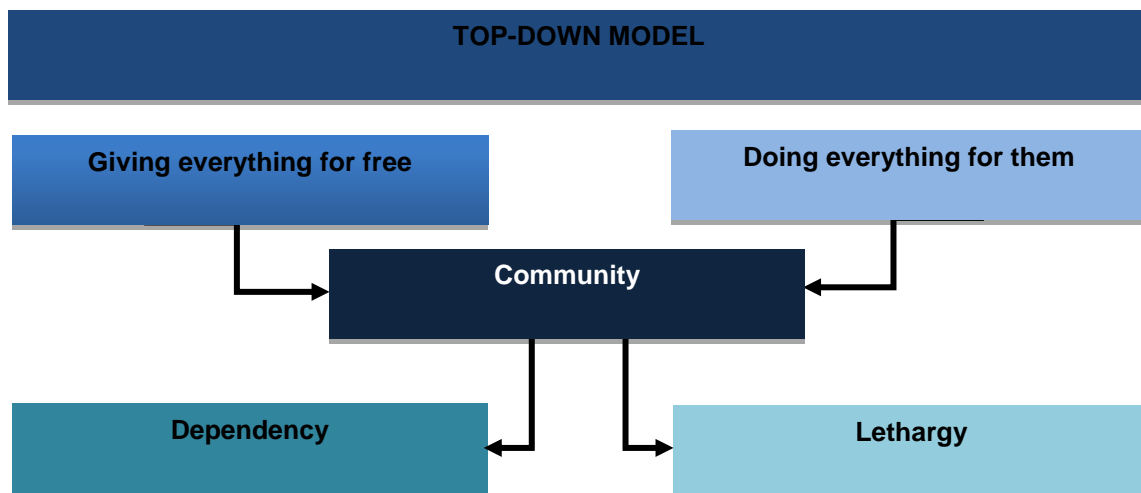


Figure 1.2: Top-down Model: adopted from Reddy, 2006

This discussion gives rise to the question related to the objective that community participation is meant to achieve. Moser explains the concept of participation as a 'means' and as an 'end' in development projects.

Where participation is interpreted as a means it generally becomes a form of mobilization to get things done (cf. **Error! Reference source not found.**). Where participation is identified as an end the objective is not a fixed quantifiable development goal but a process whose outcome is an increasingly 'meaningful' participation in the development process (Reddy, 2002:62).

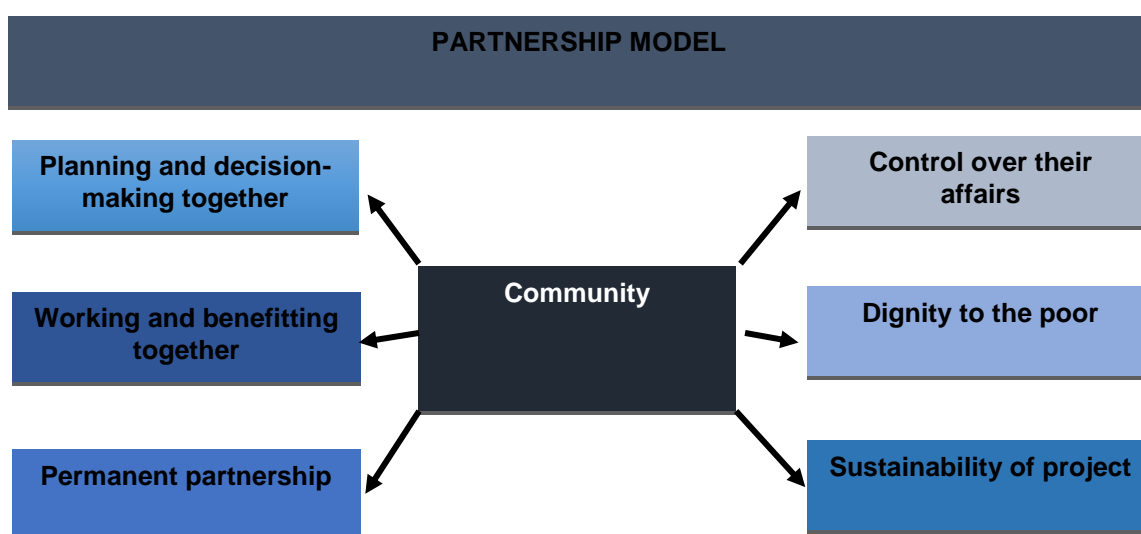


Figure 1.3: Partnership Model: adopted from Reddy, 2006

#### **2.4.9 Partnership model**

From the above discussion it can be concluded that community participation can be used to achieve material benefits in the form of pointed development projects (sewerage systems, water supply delivery, and so forth) or can lead to the social development of the people (empowerment, independence, and so forth). In the current context of maximising opportunities for community development, it is important that participation be used as a tool for achieving something more meaningful than mere physical benefits. Moser (1991:163) elaborates the need of identification of the process whereby participation as a means has the capacity to develop into participation as an end”.

#### **2.4.10 The importance of beneficiary participations**

Abbot, emphasized the importance of beneficiary participation, arguing that involvement gives people a better understanding of their own interests and the interests of others, and, in some cases, brings them to see what would be best for the entire group. However, this depends on the level at which beneficiaries are involved (Abbot, 1996:97). The following are amongst others benefits derived from community participation:

##### **2.4.10.1 *Community empowerment and self-reliance***

Beneficiary participation is essential for project effectiveness as well as for capacity and empowerment of people for community self-reliance and sustainability as participation also increases people's control over resources and development efforts. It also enables beneficiaries to plan and implement and also to participate in development efforts beyond one project and also at levels beyond their community. Community self-reliance eliminates the culture of over-dependency on government as it enhances awareness, build confidence and self-initiative (Narayan, 1995:102).

#### **2.4.10.2 Sense of ownership**

Where beneficiaries are required to personally participate in the actual building of their homes, their sense of ownership is increased and opportunities for skills acquisition and employment creation are opened up (Khan & Houpt, 2006:61). According to a recent report on the “Economic impact of government housing programmes”, a recent study in Welkom-South Africa, showed that free subsidy home owners were prepared to sell their homes for R3500, while self-build home owners were only willing to sell for as much as R25 000. Recipients of free houses were willing to dispose of the houses at the slightest offer from buyers but the owners of self-help housing were not so willing. There is therefore greater sense of ownership in self-help housing than with free housing or contractor-driven housing programmes (Department of Human Settlements, 2011:39).

#### **2.4.10.3 Quality of services and cost-effectiveness**

There are compelling arguments in literature suggesting that where communities are in control, their homes are of better quality and more cost effective per square-metre than those built through government programs and large corporations, and that left to their own devices the poor are capable of housing themselves in an effective and cost-effective manner (Yeboah, 2005:73). Evans (2007:29) argues that delivery to passive recipients produces results that are sub-optimal at best and counter-productive in many cases. What the poor require to house themselves is assisted self-help, where the state assists by creating an environment in which people could build for themselves through programmes such as the People’s Housing Process (Marais *et al.*, 2008:216).

#### **2.4.10.4 Contribution to economic growth**

According to Evans (2007:33) human capabilities are central to economic growth and are the primary motor of economic growth. The expansion of human capabilities is therefore the most powerful form of investment in economic growth. Shortages of skilled labour are a “binding constraint” and therefore “skills development and education” are important to defeat unemployment and poverty.

Skills and capacities acquired through the participation of communities during self-help projects can be used to uplift the economic condition of the poor. Chronically poor have been defined as communities or individuals who experience significant capability deprivations for a period of five years and more (Hickey, 2006:173).

#### ***2.4.12.5 Enhancing the effectiveness of government***

According to Ramjee and Van Donk (2011:52) public participation is about giving ordinary people a meaningful opportunity to exercise voice in processes that shape the outcome of development that has a direct bearing on their daily lives. Participation is also necessary because it deepens the process of democracy as well and makes government more effective.

Community participation in Housing Development, when implementing a participatory process, beneficiary participation should be considered right from the onset, from concept development and planning, through to implementation, to monitoring and evaluation of outcomes. Engagement with the beneficiary should commence as early as possible in the decision-making process, which has been frequently cited as essential if participatory processes are to lead to higher quality and durable decisions. Normally, beneficiaries only get involved in decision making at the implementation phase of the project cycle, and not in earlier project identification and preparation phases. Gradually, they may also be involved in monitoring and evaluating the outcomes of the decision-making process (Gattoni, 2009:116), to see how the process is undertaken for subsequent empowerment to participate meaningfully in other development that will concern them. However, unless flexibility can be built into the project design, this can mean that beneficiaries are invited to get involved in a project that is at variance with their own needs and priorities. This can make it a problem to motivate beneficiaries to engage with the decision-making process, and those who are engaged may be placed in a responsive position, where they are asked to respond to proposals that they perceive have already been concluded (Kerr & Kwele, 2000:1325).

However, in addition to identifying the effectiveness of community participation, it is equally important to recognise some of the problems involved in participatory

development approaches. Participation employed as an end in development projects is a time-consuming process and since time is directly proportional to money in such situations, it is quite difficult to justify such an approach due to high expenditure. Besides, there is a fear among governments of uncontrolled empowerment of people and lack of trust in their ability to make sensible decisions, which prevents the governments to change their paternalistic approach in decision-making. The only way that such issues against participation can be resolved is by looking at participation from a broader perspective and by weighing its benefits versus limitations.

It is true that it would take more time for a fully participatory project to accomplish its goals but the end result in the form of community empowerment will also go a long way (Hickey, 2006:59). Social benefits are far superior to physical benefits and realisation has to come about on the part of the implementing agencies that the empowerment of people is necessary to enable people to become productive citizens. The authorities need to change their attitude towards people, on the one hand while on the other hand, people need to be guided for participation and making informed decisions. Professionals such as architects and planners can perform a crucial role here and act as mediators and teachers in community-based projects.

#### **2.4.11 The South African Legislative and Policy Framework for community participation**

Since 1994, the South African government has put in place policy and legislative frameworks that seek to promote participatory governance. The notion of beneficiary participation is embedded in the South African Constitution. Recognising the adverse impact of Apartheid on the settlements of the majority of South African citizens, the incoming democratic government in 1994, from the outset, placed emphasis on the provision of housing, as a basic human right. The 1994 Housing White Paper asserted that the government was under a duty to take steps and create conditions which will lead to an effective right to housing for all (Tapscott & Thompson, 2010:19).

It is alleged in South Africa that a person has a right to live in dignity, in habitable conditions, and that government will vigorously promote an effective right to housing for all, within the resources and other limitations applicable to it (Republic of South Africa Constitution, 1996). The principles of citizen participation were clearly articulated in the Housing White Paper and further advanced in the Development Facilitation Act of 1995, of which the policy goals were later given legal effect by the 1996 Constitution (Deardorff, 2013:98). Enshrined in the Constitution's Bill of Rights (cf. Section 26) is the declaration that: "Everyone has the right to have access to adequate housing. The State must take reasonable legislative and other measures within its available resources, to achieve the progressive realisation of this right". Following this edict, a new National Housing Act was promulgated in 1997, committing the state, *inter alia*, to prioritise the needs of the poor in the design and delivery of housing development programmes.

In harmony with the RDPs emphasis on beneficiary consultation, the 1994 Housing White Paper committed the government to a development process driven from within the communities (cf. Section 4.4.4.), which would promote the participation of affected communities in the planning and implementation of new developments (cf. Section 4.5.1). This viewpoint was also advanced in the 1997 National Housing Act which emphasises, in Section 2(1) that national, provincial and local spheres of government must: "give priority to the needs of the poor in respect of housing development; consult meaningfully with individuals and communities affected by housing development; ensure that housing development is administered in a transparent and equitable manner, and uphold the practice of good governance"

The South African government's commitment to consultation, public participation transparency, and the adherence to agreed norms and standards is further evident in the 2008 Social Housing Act (Act No. 16 of 2008), which, in Section 2.1, states the need to: "consult with interested individuals, communities and financial institutions in all phases of social housing development. Facilitate the involvement of residents and key stakeholders through consultation, information sharing, education, training and skills transfer, thereby empowering residents" (Department of Housing, 2008:18).

Moreover, the South Africa constitutional requirements for beneficiary participation is found in its mandate for local government, but more specifically in Chapter 10, Section 195, which states that: “public administration must be development-oriented; people’s need must be responded to, and the public must be encouraged to participate in policy making and good human resource management and career development practices must be cultivated to maximize human potential”.

Also, on a national level, the South African government introduced, what is commonly known as the Batho Pele Principles, which are found in the White Paper on Transforming Public Service Delivery and embody the evolution of public participation in South Africa (Public Service Commission, 2011:37). Batho Pele means ‘*people first*’. Through this principle, the government established the importance of the South African public (citizens) and the valued input through participatory means, and called “for a shift away from inward looking, bureaucratic systems, processes and attitudes, and a search for new ways of working which put the needs of the public first, as well as better and sustainable development, which is faster, and more responsive to the citizen’s needs and expectations” (Department of Public Service and Administration, 1997:9). The Batho Pele concept is based on eight interrelated principles (Public Service Commission, 2011:37):

- consultation in terms of quality of service received;
- service standards should be indicated to the citizens to ascertain if they meet their needs and expectations;
- access to the services the citizenry is entitled to;
- courtesy: a right to which each citizen is entitled to and as such beneficiaries should be treated with consideration in the development that affect them;
- information should be concise, accurate and about the service beneficiaries are entitled to receive;
- openness and transparency, so as to bring about greater accountability;
- redress should occur if the pre-determined standards of service delivery are not met; and



- value for money, as the delivery of services should be done efficiently and effectively to bring about satisfaction to the beneficiaries (Ngwake, 2012:322).

The '*people first*' principle, which is a participatory bottom-up approach is derived from the recognition that total dependence on professionals (top-down approach) to implement development initiatives is grossly inadequate and contributes to greater underdevelopment (Oakley, 1991:52) as the needs and expectations of the citizens are in most cases not met by such development. This creates a more underdevelopment, as the people end up in a disgruntled situation that they have to live with until they are able to meet these needs by themselves.

Kotze and Kellerman (1997:40) state that the role and status of the technocrat and technocratic top-down approaches contribute not only to the devaluation of the citizens' indigenous knowledge and experience, but also to the side-tracking of the role of people's psychological and cognitive feeling in development. The top-down approach to development has resulted in the deepening of the poverty cycle, greater underdevelopment, dissatisfaction with housing development and other service delivery processes as development officials do not implement participatory processes with the beneficiaries.

The Batho Pele Principles advocates a bottom-up approach whereby the beneficiaries will have the opportunity to play an active role in the decision-making processes, which affect them. According to Oakley (1991:61), the realization of the inadequacies of total dependence on a professionally dominant manner of intervention has resulted in a search for alternative ways to bring about development, which has led to the bottom-up approach to development, which puts the people first and puts the last first.

Nevertheless, whilst various legislative agenda and policy papers provide an enabling framework for the delivery of public housing, none specified precisely how this is to be reached by the different levels of government. With regard to the Constitution, as indicated, the delivery of housing is a synchronized responsibility of all three levels of government (Ngwake, 2012:328). Following this model, the Housing Act ascribes responsibility to the national government to determine

provincial policy in respect of housing development. Subsequently, provincial governments must accept responsibility for promoting the adoption of provincial legislation to ensure effective housing delivery; and take all necessary steps to support and strengthen the capacity of municipalities to effectively exercise their powers and to perform their duties in respect of housing development (Tapscott & Thompson, 2010:11).

In the final instance, municipalities are vested with the responsibility of ensuring that housing is delivered within the policy framework, as formulated by the national government and endorsed by the provincial government. The placement and fragmentation of policy between different levels of government has proven to be a major challenge to the democratic state since its inception and this applies no less to the delivery of housing (Tapscott & Thompson, 2010:17).

However, the National Housing Code (2009), prepared by the then Department of Housing provides a framework of the procedures to be followed in implementing the National Housing Act. The National Housing Code in Sections 2.4.1, 2.4.3 and 2.4.5, re-emphasises the need for participation, fairness and accountability in the development and allocation of public housing, informing that: “the human settlement process will be participatory and decentralised allowing effective response to priorities and opportunities at the local level and enabling all role players to contribute their skills, labour, creativity, financial and other resources to the housing process.

Therefore, Government’s Human Settlement Policy must promote fairness and equity among all South Africans and achieve equal and equitable access to housing opportunities, goods and services. Transparency is seen as a key to guard against inequitable systems, in which some segments of the population benefit more than others. Coupled with transparency, systems that monitor progress and ensure accountability are equally important” (Department of Housing, 2009:60).

#### **2.4.12 Beneficiary participatory process in South Africa**

In the delivering of public housing projects and in giving effect to the rules of national policy in South Africa, a municipality is mandated to work with community representatives through what are called beneficiary committees (Tapscott & Thompson, 2010:15). Beneficiary committees are understood to be elected by communities, and it is evident that they are established in different ways by different municipalities and in some cases in different ways by the same municipal authority, depending on the community dynamic, or nature of the project. As such beneficiary committees cannot be expected to serve the communities they are purported to represent in similar ways.

For instance, in the Department of Human Settlements capital subsidy projects, in which beneficiaries are selected from a general waiting list, this differs substantially from a committee established in an, *in-situ*, upgrade area (where shacks are replaced by houses on site) where a sense of community is likely to be stronger. The effectiveness and legitimacy of the beneficiary committees as seen by the representatives themselves is markedly different between the different types of projects, in spite of the signed agreement between beneficiary representatives, the municipality and the housing developer (Tapscott & Thompson, 2010:17).

In giving influence to the idea of people-centred development, the South Africa Housing Code stresses the need for a structured agreement (also referred to as a 'social compact' or 'contract') between a municipality and the community in the delivery of housing projects. This agreement ensures that community members assume ownership of their own developments and project. The involvement of the beneficiaries from the onset is of vital importance. Hence, beneficiary participation is undertaken within the context of a structured agreement between the municipality and the community (Department of Human Settlements, 2000:51).

When preparing a housing project for provincial government approval and funding, the Housing Code stipulates that a municipality must submit a copy of a social compact, which reflects the agreement of beneficiary groups and other

stakeholders in the community on a number of key issues relating to the project. Amongst the issues under consideration are the following: the housing needs of the relevant community; the extent to which the housing project will meet the housing needs of an identified target market with particular reference to the appropriateness of the location; the number and type of residences to be constructed; the full cost to the beneficiary if any; and the level of services to be provided (Department of Human Settlements, 2000:57). Unfortunately, this has not been held to occur as intended, as participation is often and only interpreted to mean acquiescence and voluntary contributions of labour and resources by the low-income beneficiaries who have no real influence on a projects' goals and design or in establishing the rules within which it must operate as intended (Harris, 2003:251). If the social compact agreement were created, there would be a state of total satisfaction by the beneficiaries of all low-income houses in South Africa, as their needs and expectations would have been considered during the conceptual stage of the project. But this is not the case as beneficiaries are only made to endorse the projects being created without any concern for their needs and expectations. Moreover, in most housing developments, no social compact groups are formed. This ultimately leads to a state of total dissatisfaction with the houses being received, as only the beneficiaries' needs as perceived by the experts are considered.

Although, the determination of norms and standards, in terms of the Housing Act, is the responsibility of provincial governments, the South Africa Housing Code does not provide explicit details on how the social compacts, should be drawn up, which is a major short coming in giving the embedded concept of participation expression. In other words, the framework for determining who should represent communities in drawing up social compacts, the content of the agreement and the expected roles of those involved, is left to provincial governments to decide on or to delegate to local governments.

In the Gauteng Province for example, the domain for the empirical aspect of this study, the provincial government has left responsibility to the municipalities to draw up social compacts. As a result, the interpretation and implementation of participatory policies is left to the differential capacities of local housing officials

and their understanding of participatory development, which is highly inadequate and inconsistent.

Beneficiary participation is generally more successful when the community ('beneficiaries') takes on much of the responsibility, as compared to situations in which the government attempts to assess beneficiaries' preferences for housing through surveys or meetings. In order for beneficiary participation to work, projects must include special components that address it directly. Beneficiaries should be recruited to help in all phases of designing, implementing, maintaining, supervising, and evaluating a new housing construction, but only if the time, effort, and money are spent to do it correctly (Thwala, 2009:46). Despite these constraints, when the process is started early enough, this aspect will enhance the production of a housing product that would have been specifically designed to meet the needs of the community in all aspects. In addition, special consideration must be given to the development of local committees and governance structures to adequately oversee local participation. These local committees and governing structures when developed will direct and execute development (housing) projects, rather than merely receiving a share of project benefits.

## **2.5 THE BENEFITS OF BENEFICIARY PARTICIPATION IN THE HUMAN SETTLEMENTS SPACE**

Beneficiary participation offers an opportunity to engage those who are affected by human settlements issues in a dialogue; defining problems and creating solutions (Patel, 2015:352). The inclusion of community stakeholders in the human settlements process helps ensure appropriate human settlements' strategies and policies are developed through more efficient evaluation, development and implementation to guarantee the satisfaction of the beneficiaries.

Inadequate beneficiaries' participation in the process can lead to community conflict or as a worst case scenario, anti-development initiatives and ultimately housing dissatisfaction, which impacts on the quality of life of the final beneficiaries. Successful beneficiaries' participation is important because a mixed cross-section of the population that has a housing need can be involved in defining

the housing problem and in crafting community sensitive solutions. However, there is disagreement among planners and professionals about the contribution of beneficiaries' participation in improving the lives of the people, particularly the poor and disadvantaged (Rifkin & Kangere, 2002:317). Some completely dismiss its value altogether, while others believe that it is the "magic bullet", (Rifkin & Kangere, 2002:319), that will ensure improvements especially in the context of poverty alleviation, and community ownership.

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Too frequently, development initiatives have been designed by those who have no real knowledgeable and understanding of the real needs of a specific community. Hence, most times, the produced 'housing plan' is based on the different stakeholders' perceived needs of the low-income groups instead of the beneficiaries' true needs (Davy, 2006:18). Kotze and Kellerman (1997:94) attribute this to the fact that the idea that development consists of a transfer of skills or information and creates a role for the expert as the only person capable of facilitating the transfer of these skills from them to the community or society.

In order to create developmental efforts that echo the real needs and expectations of specific groups, inclusive of development that will satisfy the people, a paradigm shift is needed in the current conceptualisation of residential satisfaction research. This is a shift from the so-called blue-print approach to development toward a more process and people-centred development that should produce beneficiaries' participation. According to Oakley (1991:51) the role of beneficiary participation in South Africa cannot be undermined or may not override economic, personal or technological aspirations in the South Africa public sector as the country's past governance situation should compel the government to correct injustices by actively involving the affected in policy development.

According to Meyer and Theron (2002:59) beneficiary participation has since been envisaged as a diminution of the State's involvement and a strengthening of the role of the civil society, as a means to empower ordinary citizens, and the poor in particular, and to promote a more sustainable and satisfying form of development (Tapscott & Thompson, 2010:71).

The benefits of participation are usually seen differently because of the various interests involved. Reed (2008:2420) categorised the benefits of beneficiary participation under the normative and pragmatic arguments for stakeholder engagement in developmental decision-making.

### **2.5.1 Normative benefits**

Normative benefits focus on the benefits for a democratic society, citizenship and equity (Reed, 2008:101). For instance, it is contested that beneficiary participation reduces the likelihood that those on the margin of the decision-making milieu or society are disregarded. In this way, more significant stakeholders can be included in decisions that affect them and active citizenship can be promoted, with benefits for the wider society. Beneficiary participation is said to increase public trust in decisions and civil society, if participatory processes are perceived to be transparent and conflicting claims and views are considered (Van Heck, 2003:21).

Beneficiary participation, it is claimed, can empower beneficiary through the co-generation of knowledge with researchers and increasing participant capacity to use this knowledge (Reed, 2008:45). Thus, they are empowered to make informed decisions. It is also claimed that beneficiary participation may increase the likelihood that developmental decisions are alleged to be holistic and fair, accounting for a diversity of norms, values and needs and identifying the complexity of human-environmental interactions. It may also promote social learning. This is where the beneficiaries and the wider society in which they live, learn from each other through the development of new networks, building on existing relationships and transforming adversarial relationships as individuals learn about each other's' dependability and learn to appreciate the usefulness of each other's views.

### **2.5.2 Pragmatic benefits**

Pragmatic benefits centre on the quality and durability of developmental decisions that are made through engagement with the beneficiary. Reed (2008:51) argues that beneficiary participation enables interventions and development to be better adapted to local socio-cultural and environmental conditions. This enhances the

rate of developed adoption and diffusion amongst beneficiary groups, and their capacity to meet local needs and priorities. Beneficiary participation may make research more robust by providing higher quality information input (Van Heck, 2003:23).

By taking local interests and concerns into account at an early stage, it may be possible to inform project design with a variety of ideas and perspectives, and in this way increase the likelihood that local needs, expectations and priorities are successfully met (Tunas & Peresthu, 2010:324). In this way they are given satisfactorily developed projects that concern them. It is also argued that beneficiary participatory processes should lead to better quality decisions, as they can be based on more complete information, anticipating and improving unexpected negative outcomes before they occur. By establishing common ground and trust between participants and learning to appreciate the legitimacy of each other's' viewpoints; participatory processes have the capacity to transform adversarial relationships and find new ways for participants to work together (Stewart & Balchin, 2002:107). This will lead to a sense of ownership over the process and outcomes, when the participation is shared by a wide-ranging combination of beneficiary, long-term support while active implementation of decisions will be enhanced (Richards *et al.*, 2004:305). Depending on the nature of the initiative, this may significantly reduce implementation costs.

## **2.6 CONCLUSION**

It is evident from the plethora of reviewed literature that maximum participation of beneficiaries in building their own houses brings satisfaction and sense of ownership to the housing beneficiaries. The government of South Africa, in an attempt to encourage and enable housing beneficiaries to actively participate and contribute in the housing development process, in 1998 added to its many low-income earners targeted housing development instruments, a programme called the People's Housing Process programme (PHP).

Community participation is generally understood as the process where the citizenry are directly involved in the planning, governance and the overall



development of programmes at local level (Mafukidze & Hoosen, 2009:34) In the context of housing projects, community participation is a notion where members of the community and beneficiaries are in control of the whole process from planning the house designs and public spaces thereof, to taking decisions on all aspects of the implementation, such as decisions regarding who to partner with where necessary, and who should do the actual construction of the houses (Development Action Group, 2011:54).

The participation of citizens should therefore not be limited to being consulted in order for them to accept decisions taken by housing specialists. They must be involved in all housing development processes, such as, discussing, deciding, and evaluating results in a participative exercise (De la Vega Pena, 2006:19). This is contrary to. conventional housing projects' implementation, particularly housing projects targeting the poor or low-income earners, where communities have very little to say on the implementation of the projects as professionals always take all decisions. Beneficiaries' participation in building their own houses come with normative and pragmatic benefits. It is also evident in the literature that community participation in self-help housing also increases the scale of community empowerment and self-reliance; sense of ownership; quality of services and cost-effectiveness; and also increases the contribution to economic growth of beneficiaries.

On the Caribbean Island of Cuba, the Cuban government responded to the housing crisis by formally institutionalising self-help programmes by such means as the social micro brigades, after realising that it was unrealistic to expect all houses needed to be provided by the state alone. This practice was emulated by the South African government and it is in this context that the SACTSP was initiated.

The next chapter assesses the essential legislative mandates and policies that govern the development of human settlements in South Africa. The chapter also introduces South African Cuban relations and the SACTSP as applied in the South African.

## **CHAPTER 3: LEGISLATION AND STATUTES GOVERNING HUMAN SETTLEMENTS DEVELOPMENT IN SOUTH AFRICA**

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### **3.1 INTRODUCTION**

The housing inadequacies of South Africa are not unique in the world, but reflect a global phenomenon. It is necessary to develop an overall understanding of the influences that drive this phenomenon globally in order to fully appreciate the context of human settlements development in South Africa. The design and layout of cities in developing countries, especially Africa and Asia, were historically based on colonial models. The development of urban centers was shaped to serve the political, social and economic needs of colonial government. Expenditure budgets for service delivery favoured the colonizers and the development of the neighboring suburbs they inhabited. The influx of locals into the cities was limited and service provision, such as housing, water and sanitation to the indigenous population, who entered into the labor market of the cities, were also limited. The end of the colonial era was characterized by the unprecedented rise in the urban population of cities in the developing countries. In the absence of the past restrictive policies, and high levels of unemployment and urban poverty ensued (Mafukidze & Hoosen, 2009:379).

As a result of years of apartheid planning and development, human settlements in South Africa are characterised by spatial separation of residential areas according to class and population groups, urban sprawl, a lack of access (Development Action Group, 2011:89) to basic services in many instances, and concentration of the poor on the urban periphery. These factors have led to human settlements being inequitable, highly inefficient and unsustainable.

In 1994, in attempting to address the imbalances and inequities of previous government policies, the newly elected democratic government established the Reconstruction and Development Programme (RDP). This programme set a new policy agenda for the country, based on the principles of meeting people's basic needs on a sustainable basis (Department of Housing, 2001:4).

The developmental mandate and core business of the South African human settlements is underpinned by the Constitution and all other relevant legislation and policies applicable to government. In addressing the mandate for the provision of access to adequate housing, the following policies, legislation and regulations were enacted to give effect to the Constitutional housing rights of all South Africans in Section 26, which states that “Everyone has the right to have access to adequate housing”. The Constitution requires the state to take reasonable legislative and other measures, with its available resources, to achieve this right (Department of Human Settlements, 2011:141).

### **3.1.1 Constitutional mandate**

The South African human settlements developmental mandate is derived from Chapter 2, the Bill of Rights, Chapters 3 and 6 of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996). Section 26 in the Bill of Rights, guarantees the right to have access to adequate housing. The State is mandated to take steps to achieve the progressive realization of this right. Schedule 4A makes the housing function a concurrent national and provincial legislative competence (Republic of South Africa, 1996:87).

The Department of Human Settlements affirms its commitment “to the full and progressive realisation of the right to adequate housing”, and recognises in this context “an obligation to enable citizens to obtain quality housing and to protect and improve dwellings and neighbourhoods (Department of Human Settlements, 2011:16).

### **3.1.2 Legislative mandates**

#### ***3.1.2.1 The Housing Act (No. 107 of 1997)***

The Department of Human Settlements carries out its legislative imperatives as set out in the Housing Act, 1997. Section 2 of the Housing Act, 1997 (Act No. 107 of 1997) compels all three spheres of government to give priority to the needs of the poor in respect of housing development (section 2(1) (a)). Part 1: Section 2 of

the Act provides for the general principles applicable to housing development (Department of Housing, 2005:27), Part 2: Section 3 of the Act outlines the functions of national government. The functions of the National Department of Human Settlements span across areas of policy making, performance management, capacity support, communications and outreach, budgeting, planning, programme oversight and fundraising (Department of Human Settlements, 2011:29). Part 1: Section 2 of the Housing Act, 1997 prescribes that (1) National, provincial and local spheres of government must: (a) give priority to the needs of the poor in respect of housing development; and (b) consult meaningfully with individuals and communities affected by housing development. In addition, all the three spheres of government must ensure that housing development:

- i. Provides as wide a choice of housing and tenure options as is reasonably possible;
- ii. Is economically, fiscally, socially and financially affordable and sustainable;
- iii. Is based on integrated development planning; and
- iv. Is administered in a transparent, accountable and equitable manner, and upholds the practice of good governance (Section 2(1) (c) (Department of Housing, 2011:32)

#### **3.1.2.2    *The Social Housing Act (No. 16 of 2008)***

The Social Housing Act is the main piece of legislation for the social housing sector, which is established in alignment with both the 1999 Rental Housing Act and 1997 Housing Act (Development Action Group, 2011:31). The Social Housing Act is expected to achieve the following objectives:

- i. Establishing and promoting a social housing environment that is sustainable;
- ii. Establishing the roles of the various spheres of government in social housing;
- iii. Providing for the establishment of the Social Housing Regulatory Authority (SHRA) and defining its role as the regulator of all Social Housing Institutions that have obtained or are in the process of obtaining public funds; and
- iv. Providing statutory recognition to Social Housing Institutions (SHIs).

### ***3.1.2.3 Prevention of Illegal Eviction and Unlawful Occupation of Land Act (PIE) No. 19 of 1998***

The Prevention of Illegal Eviction and Unlawful Occupation of Land Act, provides for a fair and reasonable process to evict people who unlawfully occupy land and houses. It is an offence to evict without following the correct process. PIE states that eviction or property repossession on grounds of non-payment may only happen if a reasonable amount of warning has been served on the owner or tenant (Department of Human Settlements, 2011:55). The act also provides that no one may have their home demolished or be evicted without a court order after considering all the relevant circumstances.

### ***3.1.2.4 The Housing Consumers Protection Measures Act of 1998***

The Act provides for the establishment of a statutory regulating body for home builders. The National Home Builders Registration Council (NHBRC) has to register every builder and regulate the home building industry by formulating and enforcing a code of conduct. The implementation of the Act is monitored continuously (Republic of South Africa, 1998:13).

### ***3.1.2.5 The Rental Housing Act (No. 50 of 1999)***

This Act repeals the Rent Control Act of 1976 and defines Government's responsibility for rental housing property. It creates mechanisms to promote the provision of rental housing and the proper functioning of the rental housing market. To facilitate sound relations between tenants and landlords, it lays down general requirements for leases and principles for conflict resolution in the rental housing sector. It also makes provision for the establishment of Rental Housing Tribunals and defines the functions, powers and duties of such Tribunals (Department of Human Settlements, 2016:30).

### ***3.1.2.6 Housing Development Agency Act (No. 23 of 2008)***

The Housing Development Agency (HDA) was established in terms of this Act to do the following:

- Identify, acquire, hold, develop and release state, privately and communally owned land for residential and community development;
- Monitor progress in the development of land and property acquired for the purpose of creating sustainable human settlements; and
- Undertake project management services, including providing assistance in respect of approvals required for housing developments (Republic of South Africa, 2008:25).

### ***3.1.2.7 Development Facilitation Act (No. 67 of 1995)***

The Development Facilitation Act is intended to facilitate and speed up the implementation of the Reconstruction and Development Programme and Projects.

### ***3.1.2.8 Less Formal Township Establishment Act No.113 of 1991***

This Act provides for shortened procedures for the designation, provision and development of land and for the establishment of townships for less formal forms of residential settlement (Republic of South Africa, 1991:5).

### ***3.1.2.9 National Environment Management Act (NEMA)No. 107 of 1998***

The act is aimed at protecting ecologically viable areas representative of South Africa's biological diversity and its natural landscapes and seascapes in a system of protected areas. The Act places a responsibility on the Department to adhere to the sustainable development and conservation (South Arica, 1998:47).

### ***3.1.2.10 Public Finance Management Act No.1 of 1999***

Enables public sector managers to manage and improve accountability in terms of

managing the use of Public Funds. The Act regulates financial management in national and provincial government to ensure that all revenue, expenditure, assets and liabilities of those governments are managed efficiently and effectively (Republic of South Africa, 1999:11).

#### ***3.1.2.11 Division of Revenue Act No.7 of 2003***

To provide for the equitable division of revenue raised nationally from among the national, provincial and local spheres of government (Public Service Commission, 2011:104)

#### ***3.1.2.12 Intergovernmental Relations Framework Act No.13 of 2005***

Establishes a framework for National, Provincial and Local Government to promote and facilitate intergovernmental relations and to provide a mechanism and procedure to facilitate the settlement of intergovernmental disputes (Department of Human Settlements, 2012:36)

#### ***3.1.2.13 Home Loan and Mortgage Disclosure Act No.63 of 2000***

The Act provides for the establishment of the Office of Disclosures and the monitoring of financial institutions serving the housing credit needs of communities. It requires financial institutions to disclose information and identifies discriminatory lending patterns (Republic of South Africa, 2000:9).

#### ***3.1.2.14 Sectional Titles Management Act No.8 of 2011***

The Act provides for the establishment of bodies corporate to manage and regulate sections and common property in sectional titles schemes and for that purpose to apply rules applicable to such schemes. It further requires the bodies corporate to establish a sectional titles schemes management advisory council (Republic of South Africa, 2011:29).

### ***3.1.2.15 Inclusionary Housing Bill***

The Bill aims to promote greater social inclusion/integration and to break with highly segregated processes of the built environment creation in South Africa. Boosting the supply of affordable housing is a secondary objective. The bill aims to mobilise private sector delivery capacity for the provision of affordable housing, leverage new housing opportunities off existing stock, promote densification, and make better use of existing infrastructure (Department of Human Settlements, 2011:30). 3.1.2.16 Community Scheme Ombud Service Act (Act 9 of 2011)

This Act provides for the establishment of the Community Schemes Ombud Service to provide for a dispute resolution mechanism in community schemes (Republic of South Africa, 2011:33).

### ***3.1.2.16 Spatial Planning and Land Use Management Act (SPLUMA), 2013***

The SPLUMA provides a number of principles to promote spatial restructuring and development. It ensures that the system of spatial planning and land use management promotes social and economic inclusion (Department of Housing, 2005:57).

### ***3.1.2.17 National Development Plan (NDP)***

The Chapter eight of the NDP sets out a human settlements trajectory proposition that, 'by 2050 visible results from effectively coordinated spatial planning systems shall have transformed human settlements in South Africa into equitable and efficient spaces with citizens living in close proximity to work with access to social facilities and essential infrastructure'. It also envisages that by 2030, measurable progress towards breaking apartheid spatial patterns would be achieved (Department of Human Settlements, 2016:52). This places a responsibility on the department to ensure that the apartheid geography and the fractured housing and land markets are dealt with.



### **3.1.3 Policy mandates**

South Africa's housing policy framework is rooted in this document. The White Paper states that the point of departure of all housing policy in South Africa is:

- Sovereignty of the Constitution;
- Housing as a basic human right;
- The role of the State;
- People-centered development;
- Freedom of choice; and
- Non-discrimination (Department of Human Settlements, 2016:49);

It also contains government's overall approach to ensuring housing delivery in relation to the following:

- Stabilising the housing environment;
- Supporting the housing process;
- Mobilising housing credit and savings;
- Establishing the availability of subsidies;
- Institutional arrangements;
- Land acquisition and redistribution; and
- Co-ordinated development.

The fundamental principles of this White Paper are still relevant today and guide all human settlement development policies and implementation mechanisms (Department of Housing, 2005:53).

#### **3.1.3.2 The Urban Development Framework**

The Urban Development Framework recognises the importance of South Africa's cities and towns in meeting people's needs for shelter within the context of sustainable development. The policy sets the framework for programmes to ensure that urban development is planned and implemented in a participatory,

integrated and environmentally sustainable manner to improve the general quality of life of all those living in urban areas. The Urban Development Framework gave impetus to the Urban Renewal Programme (URP) in 2001 (Department of Human Settlements, 2011:8), whose broad outcomes are the following:

- Revitalisation of the inner city;
- Job creation;
- Integrated economic development; and
- Making the inner city safe.

### ***3.1.3.3 The Comprehensive Plan for Sustainable Human Settlements (BNG)***

A review of government's achievement in housing provision from 1994 to 2004 led to a new strategy: The Comprehensive Plan for the Development of Sustainable Human Settlements. This strategy, also called Breaking New Ground (BNG), is government's medium-term (ten year) housing policy framework that paves the way for a new approach to sustainable human settlements (Department of Housing, 2004:49).

### ***3.1.3.4 Social Housing Policy for South Africa, 2003***

The goal of the social housing policy is to improve the rental-housing sector. It expands individual housing subsidies to include subsidising social housing projects for people that rent accommodation and are from the lower- and medium-income groups. The most important principles of the Social Housing Policy (SHP) are that social housing must:

- restructure the urban inner-city by integrating housing development in existing areas;
- respond to local housing demand through the establishment of well-managed, quality rental housing options and quality living environments;
- deliver housing for income groups ranging from the working poor to emerging middle-income groups;

- support the economic development of low – and medium– income communities
- by means of. the creation of sustainable and workable projects;
- promote safe, harmonious, and socially responsible housing and urban environments;
- encourage the involvement of the private sector as much as possible;

Two specific features of the SHP are:

- Restructuring zones (RZ) whereby geographical areas that offer opportunities for social and economic development are identified in areas within a city; and
- Accreditation of Social Housing Institutions (SHI) that can apply for a government grant (Department of Human Settlements, 199:77).

### **3.1.3.5 National Housing Code**

The Housing Code is a comprehensive document that sets out the overall vision for housing in South Africa. It sets out the linkages between various policy programmes (Department of Housing, 2000:12).

## **3.2 THE SOUTH AFRICAN CUBAN RELATIONS**

South African-Cuban relations were established a long time ago between the then-liberation movement of the African National Congress (ANC) and the government of the Communist Party of Cuba. The bilateral, political and multilateral relations between South Africa and Cuba are excellent and are underpinned by historical ties forged in the common struggle against apartheid, colonisation and repression. The activism of the relations between these two countries was also evident for our neighbors, Namibia and Angola. Cuban–Namibian relations emanate from the current and historical relationship between Cuba and Namibia. Cuba politically, militarily and diplomatically supported the South West Africa People's Organization (SWAPO) during the Namibian War of Independence. Cuba provided military training for the People's Liberation Army of Namibia (PLAN), SWAPO's armed wing. In Angola, Cuba launched a large-scale military intervention in support of the leftist People's Movement for the Liberation of Angola (MPLA) against United

States-backed interventions by South Africa and Zaire in support of two right-wing liberation movements competing for power in the country, the National Liberation Front of Angola (FNLA) and the National Union for the Total Independence of Angola (UNITA) . By the end of 1975 the Cuban military in Angola numbered more than 25,000 troops (Sengupt, 2010:326). Following the withdrawal of Zaire and South Africa, Cuban forces remained in Angola to support the MPLA government against UNITA in the continuing Angolan Civil War.

It is commonly known that Cuba has one of the highest literacy rates in the world, and offers free, universal and high-quality healthcare and education to all its citizens. Prior to 1994, support given to the liberation struggle in South Africa included the education of South African students, international, military, political and material support. Cuba has therefore been a backbone of the South African liberation effort, despite its own challenges. After 1994, Cuba was one of the first countries to offer material and human resource support as well and there have been many continuing high-level interactions that took place to date. Cuba was amongst the first countries to set up an embassy in a democratic South Africa and the two countries' governments shared similar interests in addressing the socio-economic needs and aspirations of their people. Cuba has always been a key partner on enhancing the foreign policy objectives in pursuit of South Africa's identified domestic priorities (Coyula, 1996:33).

A number of bilateral agreements have been signed already in the areas of science and technology, arts and culture, sport and recreation, air services, merchant shipping, trade and economic assistance. Cuba has been training South African doctors for the past years as part of the SA-Cuba bi-national relations. In 2010, the South African Cabinet approved a R350 million economic assistance package to Cuba to strengthen bilateral trade and investment and assist in addressing the effects of natural disasters (Department of International Affairs and Cooperation, 2016:27).

South Africa remains a beneficiary of Cuba's on-going assistance in the form of exchange programmes for students in different fields. Currently, there are close to 1 400 South African students studying medicine at Cuban universities. 323 South

African graduates from the Cuban programme work as medical doctors in various South African hospitals. In 2012, the South Africa/Cuba relations further extended to include the Cooperation Agreement in the fields of health and medical science. Over, 40 000 Africans have studied in Cuba, with Cuba offering to cover some of the expenses.

By these estimates, it is evident that Cuba has played a significant role in recent formative African history. Since the end of Soviet aid to Cuba and of the denominated “special period”, a programme has been set up sending physicians, nurses, dentists, engineers and other professionals to more than 52 countries in the developing world. There are about 1 200 Cuban doctors working on the African continent, including in Angola, Botswana, Cape Verde, Côte d'Ivoire, Equatorial Guinea, Gambia, Ghana, Guinea, Guinea Bissau, Mozambique, Namibia, Seychelles, Zambia, Zimbabwe, and other areas in the Sahara (Veelen, 2013:11). There are more than 400 architects, engineers, electricians and other technical experts deployed throughout South Africa by various line function departments such as Human Settlements, Public Works and Social Development (Veelen, 2013:17).

### **3.3 REVISED BILATERAL AGREEMENT**

In November 2013 the bilateral Agreement between the two countries was revised. This agreement accommodated the Department's mandate change from housing to human settlements. It also moves beyond the recruitment of Cuban Technical Advisors by provinces to encompass a whole range of new areas for co-operation. The new agreement addresses the more focused utilisation of the Cuban Technical Advisors. The new Agreement seeks to sharpen the existing co-operation to focus further on:

- Technical support, to accelerate the implementation of the People's Housing Process (PHP) projects and other Human Settlements projects;
- Knowledge and information sharing on best practices for engineers and architects working in Human Settlements projects;
- Promotion of community participation based on the Cuban experience; and

- Innovative and cost-effective implementation based on Cuban (Department of Human Settlements, 2016a:35).

The new agreement also provides for the following new areas of co-operation:

- The recruitment and utilisation of Cuban Technical Advisors not only in Provincial Departments, but also by the National Department of Human Settlements and Accredited municipalities, in Human Settlements projects;
- Cooperation in the field of social building brigades to enhance implementation of PHP projects, youth and women programmes including related human settlement projects;
- An exchange programme for the training of engineers and architects to strengthen the skills transfer component of this Agreement; and
- A training programme for artisans in South Africa based on Cuban experience (Department of Human Settlements, 2016a:42).

### **3.4 IMPLEMENTATION OF THE SOUTH AFRICAN-CUBAN TECHNICAL SUPPORT PROGRAMME (SACTSP)**

The South African-Cuban Technical Support Programme is managed through a National Committee comprised of representatives from provinces participating in the programme and the National Department of Human Settlements represented by Technical Capacity Development, International Relations and the PHP chief directorates. The programme is reported to the Joint Bi-National Commission hosted bi-annually between Cuba and South Africa (Department of Human Settlements, 2016a:12).

In 2003, 53 Cuban Technical Advisors (CTAs) were recruited from Cuba to assist Provincial Departments of Human Settlements in terms of filling capacity needs within People's Housing Process (PHP) projects and other technical work required to enhance service delivery (this was named Phase 1 of the SACTSP). Phase 2 of the SACTSP was from 2006 to 2009, and during this phase 45 Cuban Technical Advisors were deployed in seven provinces.

The year 2013 was the final year for Phase 3 of the SACTSP. This phase started in April 2010 with a total of 14 CTAs employed in the Provincial Human Settlements Departments of the Free State (06), Limpopo (07), and Mpumalanga (01) respectively. Phase 3 started at the time when the Western Cape Province still had nine (09) CTAs from Phase 2 since it had joined Phase 2 a year later than the other provinces. During the July 2011 visit to Cuba, an additional 22 new Cuban Technical Advisors were recruited for the Western Cape (12), and Mpumalanga (10) Provinces respectively. The 22 CTAs arrived in the country in October 2011 (Department of Human Settlements, 2016a: 3). This brought the total number of CTAs in Phase 3 to 36 (cf. Table 1.).

**Table 1.1: Phase 3 of the SACTSP in the Human Settlements**

PROVINCE	NO. OF. CTAS
Western Cape	12
Mpumalanga	11
Limpopo	7
Free State	6
<b>TOTAL</b>	<b>36</b>

While the Western Cape and Mpumalanga provinces still have the 12 and 10 CTAs respectively recruited in October 2011, the provinces of the Free State and Limpopo entered Phase 4 of the programme in August 2013 after the arrival of the CTAs recruited by the two provinces in May 2013 (Department of Human Settlements, 2016a:3).

The Free State Province travelled to Cuba on the 18<sup>th</sup> to the 28<sup>th</sup> of January 2015 to recruit a further 40 Cuban Technical Advisors to assist with capacity in their local municipalities. The total number of CTAs in the provincial departments of human settlements is seventy nine (79) (cf. Table 1.2).

**Table 1.2: Summary on the participation of Provinces in the SACTSP**

PARTICIPATING PROVINCE	PHASE 1 (2003 – 2006)	PHASE 2. (2006 - 2009)	PHASE 3 (2010 - 2013)	PHASE 4 (2013 – 2015)	BEYOND 2015
Eastern Cape	10	8	0	0	0
Free State	6	4	6	8	46
KwaZulu-Natal	7	9	0	0	0
Limpopo	5	4	7	4	4
Mpumalanga	7	7	11		15
Northern Cape	1	0	0		4
North West	6	4	0	0	0

Western Cape	11	9	12		0
Gauteng	0	0	0	0	10
<b>TOTAL NUMBER OF CTAs</b>	<b>53</b>	<b>45</b>	<b>36</b>	<b>12</b>	<b>79</b>

**NB: This excludes the initial CTAs recruited by Gauteng in 2001**

### **3.4.1 Recruitment process**

The process of recruiting the CTAs is a joint effort between Cuba (through UNECA), the National Department of Human Settlements (NDHS) and the Provincial Department of Human Settlements. Provinces are expected to submit to the National Department, a three-year Operational Plan (work-plan) which clearly indicates where and how the CTAs will be utilised (i.e. the housing programmes & functions) and the financial implications thereof.

The National Department through its Technical Capacity Development unit and the International relations unit (IR), in collaboration with UNECA and the Cuban embassy facilitates all the necessary logistical arrangements. before provincial departments could undertake visits to Cuba to recruit (interview and select) relevant Cuban professionals. This includes the normal recruitment process of going through the curriculum vitae of each candidate and preparation for the shortlist. The national department ensures that recruitment visits to Cuba by provincial departments are coordinated. On arrival in South Africa, the national department submits the new Cuban professionals to an induction programme before they are released to their provinces of deployment where they undergo further inductions (South Africa, 2013:32).

### **3.4.2 Induction**

New CTAs should participate in a structured induction programme to take place partly in Cuba and in South Africa upon arrival. The greater part of the induction programme is focused on English, and how South Africans live, and a general overview of South African Housing Policy.



Each phase of the CTAs is for a three-year period, and can only be extended marginally in exceptional cases.

### **3.5 UTILISATION OF CUBAN TECHNICAL ASSISTANTS BY PROVINCIAL DEPARTMENTS**

Provincial departments that are participating in the programme utilise the Cuban Technical Advisors (CTAs) to perform the following activities amongst others:

- Providing Architectural design assistance to the departments and municipalities in respect of Housing and other Projects;
- Technical assessment on houses affected by storms;
- Design of houses and CRU units;
- Technical control;
- Inspection of houses;
- Skills transfer to provincial and municipal inspectors and contractors;
- Quality control;
- Technical reporting;
- Progress reporting;
- Project Management (municipality infrastructure grant & housing projects); and
- Technical Inspections on site and housing developments (Department of International Relations and Cooperation, 2016:31).

South Africa has a shortage of competent individuals to perform the abovementioned activities. Participating departments indicated that the work performed by CTAs is so invaluable that they will not be able to cope without the CTAs. One of the strengths of Cuban professionals is their orientation, knowledge and ability to work with community members and organisations, which is one of the weaknesses of South African professionals (Department of Human Settlements, 2016a:12).

Cuban engineers are therefore geared to deal with difficult community groups despite the perceived language barrier. Because of their experience with the Brigade programme in their country, they have been most effective within the PHP

programme and have to-date been able to train a number of support organisations who became highly effective in the management of their PHP projects. Skills transfer especially in the areas of technical skills, such as construction management, financial management: project management and monitoring have been evident in a number of projects where CTAs have been active.

The second programme objective was broadened to include skills transfer on a range of issues to a range of recipients. The skills transfer component of the programme is very important and is supposed to be better structured and more systematic in all participating provinces. In most cases, skills transfer takes the form of mentoring and on-the-job training especially of government officials. Project- related skills transfer to communities is also done in a systematic manner. Methods are likely to differ in the provinces depending on scope and intensity of CTAs working in projects (South Africa, 2013:34).

It is important to know that the SACTSP promotes the sharing of knowledge and information. The CTAs mostly make use of the documents that have been developed at national and provincial level and other State-owned entities such as the Housing Development Agency (HAD) and National Housing Builders Registration Council (NHBRC). Information sharing amongst the CTA's themselves is highly encouraged as it enables them to better understand the housing policy and implementation environment and to share ideas on how best to provide assistance and support.

### **3.6 PROGRAMME PLANNING AND IMPLEMENTATION**

Like any other strategic partnership programme the SACTSP is managed at different levels (National, Provincial and Municipal). The involvement of each level differs depending on what needs to be achieved and the size of the project.

#### **3.6.1 Provincial Plans**

Each participating province is expected to develop a comprehensive Provincial Plan for the entire phase. This provincial plan should at least cover the following:

- Description of the situation in the province with regard to People's Housing Process which the programme will address;
- Objectives of the Programme in the province for the phase;
- Interventions (strategic and measurable objectives) with performance indicators for the realisation of the objectives of the programme. Some of these interventions should address the issue of skills transfer;
- The institutional arrangements for the Programme in the province; and
- Monitoring and evaluation system (procedures and activities).

Provinces are expected to present to the National Department of Human Settlements a Process Plan outlining activities that will be undertaken, stakeholders that will be involved and timeframes for the formulation of the Provincial Plan. The purpose of presenting the Process Plan is to ensure that the process of developing the plan is participatory and transparent (Department of Human Settlements, 2005:25).

### **3.7 NATIONAL SUPPORT PLAN**

Once the majority of participating provinces have submitted their Provincial Plans, the NDoHS develops a National Support Plan reflecting its role as co-ordinators of the Programme including providing guidance on planning and implementation within the parameters set in the Bilateral Agreement. This National Support Plan will be presented to the National Committee of the Programme (NCP).

#### **3.7.1 National Committee**

A National Committee oversees the implementation of the SACTSP. It meets quarterly in different participating provinces with the following responsibilities:

- considers the Provincial Quarterly Reports on planning and implementation of the programme and the national and provincial Programme Evaluation Reports;

- provides a platform to guide/advise provinces on planning and implementation of the programme; and
- share best practices and lessons learnt in planning and implementing the programme (Department of Human Settlements, 2005:77).

The National Committee is constituted of:

- The National Department of Human Settlements Task Team (see below) for the programme.
- A maximum of two officials per participating province including the Provincial co-ordinator. The officials should be serving in the provincial structure that is responsible for the planning and implementation of the programme.
- A maximum of two CTAs per participating province. The CTAs should preferably be those serving in the provincial structure for the programme.
- Two representatives from the Cuban Embassy including the National Cuban co-ordinator (Department of Human Settlements, 2016a:41).

The institutional arrangements for the programme at national and provincial level must ensure that the parties involved in the programme play their role meaningfully and that the objectives of the programme are met.

### **3.7.2 The SACTSP Task Team**

A Task Team within the national department of human settlements coordinates the SACTSP at the national level. It is constituted by four directorates, namely:

- Institutional Capabilities Development Directorate;
- Enhanced PHP Directorate;
- Training Directorate; and
- International Relations.

The immediate supervisors of the Senior Managers constituting the Task Team have *ex officio* status. Depending on the issues of the Task Team meeting, invitations can be extended to other Directorates in charge of these issues who are not regular members of the Task Team.

### **3.7.3 Provincial committee**

The National Department of Human Settlements Task Team for the Programme performs the following functions:

- Facilitates the development of the National Support Plan
  - Co-ordinates the implementation of the National Support Plan
  - Co-ordinates the monitoring and evaluation of the programme at national level.
- The Provincial Committees are active structures that need to be established by participating provinces and are responsible for managing (including monitoring and evaluation) the implementation of the programme.

According to the programme institutional arrangement, the CTAs report to a Manager at the Provincial Department of Human Settlements. However, CTAs should not be considered as ordinary staff of one directorate/division. The responsibility of managing the programme rests with the Department as the whole, and is implemented by the Provincial Committee that is a cross-functional structure. The composition of the Committee is informed by the overall objective of the programme in the province and the nature of interventions are planned to achieve the objectives. The Committee needs to identify its Terms of Reference (ToR) and assign tasks to departmental officials such as the provincial co-ordinator.

### **3.7.4 National Level (Monitoring and Evaluation)**

The National Department of Human Settlements through the National Committee facilitate the monitoring and evaluation at national level (Department of Human Settlements, 2005:22). Activities will include:

- Conducting quarterly meetings in different participating provinces
- Considering Quarterly Progress Reports submitted by participating provinces
- Visiting project sites to confirm and deepen the understanding of progress made.
- Considering Provincial Annual Evaluation Reports. These Annual Evaluation Reports will be discussed at the National Annual Evaluation Workshop consisting of two parts:
  - the ordinary quarterly meeting of the National Committee; and
  - an open space conference where provinces present their good practice experiences/projects and lessons learnt. Attendance for this session is also open to other organisations working in this field to contribute to the deliberations and benefit from them.

At least four months before the end of a Programme Phase (three years) the National Department of Human Settlements commissioned a countrywide evaluation of the programme. The draft report on the evaluation exercise is available for discussion at least two months before the end of each phase in order for the Cuban Technical Advisors of that phase to participate in the deliberations. This national evaluation should not substitute the evaluation of that phase by each participating province (Department of Human Settlements, 2016a:15).

The recruitment and induction of CTAs by provinces for the following phase of the programme should be informed by the outcome of the national evaluation.

### **3.7.5 Provincial government sphere**

The participating provinces are expected to develop their own monitoring and evaluation procedures or systems for the programme as part of the planning exercise. The implementation of a monitoring and evaluation system should involve all the stakeholders participating in the planning and implementation of the programme in that province.

### **3.8 CONCLUSION**

The legislation and statutory requirements that govern South African human settlements development are mainly aimed at providing a framework for the realisation of sustainable human settlements and improved quality of household life. It is directed at redressing the imbalances created by apartheid and provides a foundation for the establishment of viable, socially and economically integrated communities that are located in areas allowing convenient access to economic opportunities as well as health, educational and social amenities.

In the development strategy and policy for human settlements the following contextual realities are taken into consideration: the ever increasing South African population; rapid rate of urbanization; the economic factors and high unemployment rate.

The different spheres of government ensure that housing development provides as wide a choice of housing and tenure options as is reasonably possible; is economically, fiscally, socially and financially affordable and sustainable; is based on integrated development planning; is administered in a transparent, accountable and equitable manner; and upholds the practice of good governance (Department of Human Settlements, 2012:112).

The national Department of Human Settlements is responsible for establishing and maintaining a sustainable housing development process. It achieves this by developing policy and strategy, determining delivery goals, monitoring and evaluating the housing sector's performance, establishing a national funding framework for housing development and allocating the housing subsidy budget to provincial governments and public entities.

It is the responsibility of the provincial governments to promote, coordinate and implement housing programmes within the framework of the national housing policy. They approve housing subsidies and projects and provide support to municipalities for housing development. They also evaluate municipal applications

for accreditation as housing delivery agents (Department of Human Settlements, 2010:46).

Municipalities have the most critical role in the housing delivery process, as they are responsible for the provision and on-going operation of associated bulk and distribution infrastructure and services, such as water, sanitation, roads and (in many cases) electricity. Municipalities also share responsibilities with provinces for the release of land for housing development, land use planning, and land use and building control. They also often act as housing developers. They are required to take all the reasonable and necessary steps within the framework of national and provincial housing legislation and policy to ensure that the right to have access to adequate housing is realized on a progressive basis, by creating an enabling environment for housing development in its area of jurisdiction.

Complex arrangements for, and weak coordination of housing delivery across the three spheres of government are often cited as a constraint to scaled-up and sustainable human settlements development. The root cause of this problem is the relatively limited powers given to municipalities in housing delivery, despite the significant responsibilities they hold for the provision of infrastructure and the long-term management of settlements.

The above aspects create the environment within which the Cuban South African relations operate. The very same legislative and statutory mandates that govern the South African Human Settlements development also govern the SACTSP. The next chapter will be on research methodology.



## CHAPTER 4: RESEARCH METHODOLOGY

### 4.1 INTRODUCTION

This section articulates the research methodology used in the study. The intention is to indicate to the reader how the research was conducted and what philosophical assumptions underpin the research (Quinlan *et al.*, 2015:55). Methodology is the science of finding out procedures for scientific investigation (Babbie, 2015:13). It is a way to systematically solve a research problem. This section describes the methods used to determine the effectiveness of the South African Cuban Technical Support Program (SACTSP) as an intervention of improving both housing and the lives of housing beneficiaries in South Africa. According to Cooper and Schindler (2014:74) a research process is a sequence of clearly defined steps within a research study. The research process of this study will be outlined using the guidelines proposed by Saunders and Lewis (2012:263) as outlined in the diagram below (onion ring) (cf. Figure 1.1).

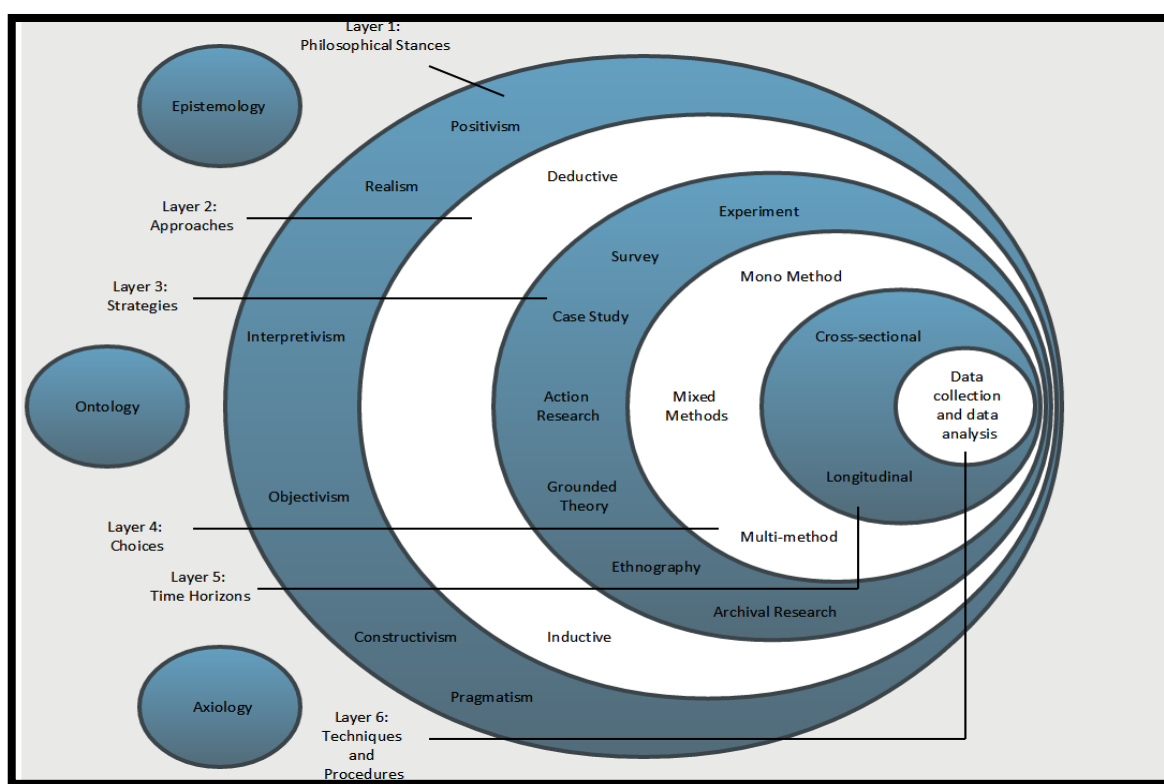


Figure 1.1: Research Onion diagram (based on Saunders & Lewis (2012:40))

The choice of a research methodology model depends on the researcher and the research objectives. Saunders and Lewis (2012:111) proposed the research onion to serve as a route map to chart the way through the research process. The researcher is going to follow the research onion process in determining the appropriate research design to be used in this study. Figure 1.1 are used to illustrate the layers of the research process as proposed by Saunders and Lewis (2012:76). According to Saunders and Lewis (2012:43), the onion is a metaphor for describing the layers of the research process. The outer layers of the onion are composed of the research philosophies and approaches, the central layers reflect the research strategies and choices while at the centre of the onion data collection and analysis are the central concerns. Figure 1.1 summarises the author's research position for this study.

The choice of a research methodology model depends on the researcher and the research objectives. This study is generally an evaluatory study that employed multiple case studies to determine the effectiveness of the South African Cuban Technical Support Programme (SACTSP) as an intervention of improving both housing and the lives of housing beneficiaries in South Africa. The study also used mixed methodologies because case study research generates large amounts of information from different sources (Algozzine & Hancock 2011:68).

A research process is a sequence of clearly defined steps within a research study (Cooper & Schindler, 2014:38). The research process of this study is outlined using the guidelines proposed by Saunders and Lewis (2012:74) according to Figure 1.1 (onion ring).

This study focused on the evaluation of the effectiveness of the SACTSP in three different provinces (Limpopo, Mpumalanga and Western Cape) participating in the programme. Multiple case studies (Housing projects) were evaluated to determine the value brought by the involvement of the CTA's (through the SACTSP) in the lives of South African's housing beneficiaries. The study was mostly conducted by a comparison between the projects where the Cuban Technical Advisors (CTA's) were involved in building and those where the CTAs were not involved.

Multiple sources were used to collect the required data. The use of multiple sources to collect information is known as triangulation (Yin 2009:120). Triangulation assists researchers to verify the validity and reliability of the data being collected or which has already been collected (Gerring 2012:205).

The research philosophy adopted for this study is positivism or post positivism. Positivism is the epistemological position that advocates working with an observable social reality and the emphasis is on highly structured methodology to facilitate replication, and the end product can be law-like generalizations similar to those produced by physical and natural scientists (Saunders & Lewis, 2012:197). According to Creswell (2014:66), post-positivists reflect a deterministic philosophy about research in which causes probably determine effects or outcomes and thus the problems studied by post positivists reflect issues that need to identify and assess the causes that influence the outcomes such as found in experiments. At the heart of positivism therefore, is a belief that it is possible to obtain objective knowledge through observation and that such knowledge is verified by statements about the circumstances in which such knowledge is true.

In the field of evaluation, House (2011:215), has discussed this tradition under the label of objectivism. According to him evaluation information is considered to be “scientifically objective”. This objectivity is achieved by using “objective” instruments like tests or questionnaires. Presumably, results produced with these instruments are reproducible. The data are analysed by quantitative techniques which are also “objective” in the sense that they can be verified by logical inspection regardless of who uses the techniques (House, 2011:217).

This chapter discusses research design, case study, research methodology, data analysis, trustworthiness, validity and ethical considerations.

## **4.2 RESEARCH DESIGN**

Different research problems lead to different: (a) research designs, (b) methods, (c) and interpretations of the data, which has been collected and analysed (Leedy & Ormrod, 2014:97). This study is generally an evaluation/tory study. The study

adopted a case study approach where the SACTP of the human settlements is the point of focus. In Patton's (2002:174), term "evaluation research" does in fact refer more aptly to the scholarly or academic activities of evaluation researchers. In this sense "evaluation research" is seen as a form of scientific research, albeit an applied and problem-solving kind of research. It is first and foremost defined in typical academic terms. The term programme evaluation on the other hand, refers to the very practical endeavor of evaluating and assessing programme processes and impact.

The focus throughout this study was specifically on programme evaluation. This design aims at answering the question of whether an intervention, a programme or a strategy has been successful or effective (Welman *et al.*, 2007:52). The understanding of this concept throughout this study is in line with the commonly accepted definition provided by Rossi *et al.* (2004:69) who defined program evaluation as the use of social research methods to systematically investigate the effectiveness of social intervention programs in ways that are adapted to their political and organisational environments and are designed to inform social action to improve social conditions. According to Mouton (2006:304), the main aim of any outcome and product evaluation study is to establish whether the intended – but also other unintended – outcomes of the program or strategy have materialized. The impact or outcomes of the program or strategy could either be short, medium or long term.

The research design selected depends on: (a) the nature of the research questions, (b) the type and amount of knowledge already available on the research topic, (c) the resources available for conducting research, and (d) data analysis tools (Mouton, 2006:175). A research design is a: (a) logical research plan that should link the data to be collected and the conclusions to be drawn from the answers to the initial research questions posed in the study, (b) logical sequence that connects the empirical data to a study's initial research question and to its conclusions, and (c) logical plan for getting from here to there, where here may be defined as the initial set of questions to be answered and there as the set of answers to these questions and conclusions (Yin 2014:26 & 28).

This study employed mixed methodologies using data collection instruments such as sample, documents, questionnaires, and interviews in order to collect rich data. A research instrument is a tool that is used to collect the data in a research study (Kumar 2014:24). Researchers are the paramount data collection instruments because they collect the data from the participants and then interpret the data which has been collected. In most instances, interviews are used in order to collect the requisite data (Lewis & Nicholls in Lewis *et al.*, 2014:49-55). In this study, the researcher conducted face-to-face interviews using semi-structured questionnaires. Semi-structured questionnaires are well suited to case study research because case study researchers ask predetermined questions and the answers provide tentative answers to these questions but also provide the researcher with an opportunity to probe more deeply (Algozzine & Hancock, 2011:45). Semi-structured questionnaires were used to collect primary data from identified beneficiaries (both the experimental and the control group). The themes of the questionnaires were in line with Algozzine and Hancock (2011:70) proposal, that themes must reflect the purpose of the research study and respond to the questions under investigations.

#### **4.2.1 Research strategy: procedures and study areas**

As highlighted above, the research design of this study is a multiple Case Studies approach. Initially the scope of the study was related to three provinces participating in the SACTSP, which are Mpumalanga (MP), Western Cape (WC), and Limpopo (LP). The intention was to have both the control group and the intervention group in the same province. Due to the over usage of the CTA's in these provinces the researcher decided to use Gauteng Province (GP), a non-participating province in the programme, as a control group. This is also due to the fact that the province (Gauteng) is also commonly known for publicly criticising the effectiveness of the SACTSP programme. It is again the only province with three metropolitan municipalities with existing effective governing structures with authorities to decide on the development of their areas. Data was collected in three housing projects from the three Gauteng Metropolitan Municipalities Tshwane, Ekurhuleni and City of Johannesburg. The selected projects were

Mamelodi Extension 5 in Tshwane, Villa Lisa (Boksburg) in Ekurhuleni and Driekiek Extension 3 in Orange Farm, Johannesburg.

The selected projects where the CTAs participated (experimental group) were Chicago Bulls at Strand in Cape Town (WC), Thekwane South Housing Projects, Nelspruit in Mpumalanga and Westernburg at Polokwane in Limpopo Province. According to the National Treasury report of the selected committee on appropriations of the Human Settlements Development Grant expenditure of 2017/18 financial year, the PHP projects of the provinces were allocated as per a table below:

Provinces	Project name	Units number
Western Cape	Strand	97
Limpopo	Westernburg	73
Mpumalanga	Thekwane South	112
Gauteng	Tshwane (Mamelodi Ext 5	80
	Ekurhuleni (Villa Lisa)	84
	City of Johannesburg (Orange Farm)	113

**Table: 4.1: PHP allocations per province.**

In each unit of evaluation, questionnaires to collect data were distributed to the rightful owners of the houses, who were above eighteen years of age (beneficiaries). It is common that each (PHP) project where the CTAs are involved is limited to between eighty and hundred units, and the researcher distributed fifty (50) questionnaires to each project (Annexure A). The participants, all rightful owners of state subsidies, were identified by means of purposive sampling.

Purposive sampling represents a group of different non-probability sampling techniques. Also known as judgmental selective or subjective sampling, purposive sampling relies on the judgment of the researcher when it comes to selecting the units (e.g., people, cases/organisations, events, pieces of data) that are to be studied. Usually, the sample being investigated is quite small, especially when compared with probability sampling techniques. Unlike the various sampling techniques that can be used under probability sampling (e.g., simple random sampling, stratified random sampling, and so forth), the goal of purposive sampling is not to randomly select units from a population to create a sample with the

intention of making generalisations. The main goal of purposive sampling is to focus on particular characteristics of a population that are of interest, which will best enable the researcher to answer the research questions (Rossi *et al.*, 2012:31).

The table below clarifies the informants who participated in the semi-structured interviews:

Informants at National level	Informants at Provincial level	Informants at Community level
<p>Senior and Junior officers involved in the Programme</p> <p>PHP unit</p> <p>Inter-relations unit</p> <p>Stakeholders relations unit</p> <p>UNECA (SACTSP) coordinator</p>	<p>Senior and Junior officers involved in the Programme</p> <p>PHP unit</p> <p>Stakeholders relations unit</p> <p>Projects management unit</p> <p>Head of the department</p> <p>CTA's themselves</p>	<p>Community members who worked with the CTA's:</p> <p>Local contractors working in projects with CTA's</p> <p>Trainees (who were trained by CTA's)</p> <p>Community members who benefited from the program</p>

**Table: 4.2: Informants participated in the semi-structured interviews**

Interviews with main role players in housing circles were also conducted (cf. Annexure B). The selection is also influenced by what is called the “good enough” rule in formulating evaluation research (Rossi *et al.*, 2012:28). Stated simply the “good enough” rule advocates that the evaluator should choose the strongest possible design from a methodological stand point after having taken into account the potential importance of the results, the practicality and feasibility of each design and the probability that the design chosen will produce useful and credible results (Rossi *et al.*, 2012:33)

It is important to note that traditional impact evaluation is about attributing causality. Any discussion of causal attribution presupposes dealing with counterfactuals (what intervention). Traditional impact evaluation designs essentially employ two design principles to measure the counterfactual: control groups (ideally created through randomisation) and baseline measure (before and

after logic). Stated simply, we compare two situations - one where one group receives an intervention and another group does not. On the assumptions that the two groups are reasonably equivalent, significant changes in the experimental group are attributed to the intervention. In the absence of a possibility of comparison groups, we take a before measure of our target group - where the counterfactual thinking then is that things will stay as similar to this situation in the absence of our intervention (Mouton, 2012:115).

#### **4.2.2 Case study**

As indicated above, the research design of this study is a multiple case studies approach. Yin (2003:76) wrote that a case study can contain either a single study or multiple studies. The researchers therefore have to consider the options of a single case study or a multiple case study for the understanding of the phenomenon. There are several different opinions if a single case study or a multiple case study is the best choice. Yin (2003:77) explains that when the researcher chooses to do a multiple case study, the researcher is in the position to analyse the data within each situation and also across different situations, unlike when a single case study is chosen.

According to Baxter and Jack (2008:144) and Stake (1995:49) another difference between a single case study and a multiple case study is that in a multiple case study the researcher studies multiple cases to understand the similarities and differences between the cases. Therefore, the researcher can provide the literature with important influences from its differences and similarities. The evidence that is generated from a multiple case study, according to Baxter and Jack (2008:547) is strong and reliable. Yin (2011:79) says that when they augur similar results in the studies or when they augur contrasting results for expected reasons, multiple case studies can be used. Multiple case studies, according to Eisenhardt and Graebner (2007:29) allow a wider discovering of theoretical evolution and research questions. When the suggestions are more intensely grounded in different empirical evidence, this type of case study also creates a more convincing theory. When a multiple case study is used it comes with both benefits and difficulties, which is important to take under consideration by the



researcher. The researcher may, however, according to Baxter & Jack (2008:549), keep in mind that there can be an expensive and time-consuming process involved to make a multiple case study. Dyer and Wilkins (1991:613) writes that single case studies are better when the researcher wants to create a high-quality theory because this type produces extra and a better theory. They also explain that it helps the researcher to have a deeper understanding of the exploring subject. According to Gerring (2004:352) the more case studies a scientific article has, the more likely it is that it is confident in its representativeness but the less observation time the researcher has studied the cases.

Case study research has been subject to criticism on the grounds of non-representativeness and a lack of statistical generalisability. Moreover, the richness and complexity of the data collected means that the data is often open to different interpretations, and potential 'researcher bias' (Cornford & Smithson, 1996:17).

Despite the lack of a detailed step-by-step data analysis of case study data, and the problem of not being able to provide generalisability in a statistical sense, Denzin and Lincoln (2000:311) argue that case studies can be generalised, arguing that "looking at multiple actors in multiple settings enhances generalisability". Similarly, Yin (2003:101) argues that case studies are used for analytical generalisations, where the researcher's aim is to generalise a particular set of results to some broader theoretical propositions. These for and against views indicate that no research methodology is perfect, and therefore, researchers have to use data obtained with multiple methodologies.

#### **4.3 RESEARCH METHODOLOGY**

There is rarely a single evaluation methodology that can fully capture all of the complexities of how programmes operate in the real world (Rossi *et al.*, 2012:33).

##### **4.3.1 Mixed methodology**

For the purpose of this study the researcher combines different evaluation frameworks (qualitative and quantitative) tools and techniques, thus making use of mixed methodologies. The unique feature of mixed methods approaches is that

they seek to integrate social science disciplines with predominantly quantitative and predominantly qualitative approaches to theory, data collection and data analysis and interpretation (Bamberger, 2012:91). Mixed methods (MM) approaches in development research and program evaluation can help yield insights that neither approach would produce on its own. In assessing the impact of development programs and policies, it is important to recognize that quantitative methods are enormously useful, nonetheless have some important limitations and that some of these can be overcome by incorporating complementary qualitative approaches.

The following are the reasons for employing mixed methodologies in this study, they include among others the following: (a) collecting both qualitative and quantitative data, (b) qualitative and quantitative research methodologies complement each other (c) qualitative research uses words while quantitative research uses numbers which assist in the interpretation of the data which has been analysed (Garry, 2009:81) (d) mixed methodologies elaborate each other (Bless *et al.*, 2013:16) and (e) mixed methodologies incorporate both qualitative and quantitative data (Creswell, 2014:3). Semi-structured questionnaires containing both open and closed questions were used to collect the requisite data. A combination of open and closed questions yields the best results in an interview (Bone & Griffin, 2014:269). Some of the primary functions of the research methodology selected include dictating and controlling the data acquisition and also the analysis of the data in order to extract meaning by interpreting the data which has been analysed (Bone & Griffin, 2014:269). Social science researchers interact with participants in order to interpret their words and make meanings of their lived experiences (Bevir, 2011: 51). Interpretation and meaning making is associated with the qualitative research methodology.

#### **4.3.2 Qualitative methodology**

Semi-structured questionnaires were used to collect data required in this study. The answers to the open-ended questions provided qualitative data. Qualitative data emanates from social relations through talking or interviewing and takes the form of words (Flick, 2014:11). Open-ended questions were asked because, as

stated by Bone and Griffin (2014:269), such questions: (a) invite a range of possible responses, (b) are not restrictive, (c) contain no answers, (d) allow the participants to offer information voluntarily and (e) encourage the participants to express ideas, knowledge and experiences in interesting ways. Qualitative researchers use open-ended questions so as to allow the participants with freedom to answer the questions posed in their own words or style (Treadwell, 2011:27).

The participants were interviewed in their vernacular depending on their geographical location. The researcher is fluent in many of South African vernacular languages, and was able to translate interview questions to the participants' languages during face-to-face interviews. The researcher then captured their responses in English. According to Patel (2015:63), open ended questions: (a) assist participants to answer the questions posed adequately, (b) are preferred for complex issues, (c) may be used if there would be too many potential answer categories which may confuse the participants and (d) allow a greater opportunity for creativity or self-expression on the part of the participants. In addition, open questions give the participants the freedom to answer in a range of ways and generate ideas as well as participants to mention matters about which they are worried or excited (Bone & Griffin, 2014:223).

Open-ended questions merely enquire whether there is a relationship between the variables in question (Treadwell, 2011:39). There are no predetermined answers to open questions (Birmingham & Wilkinson, 2003:11) and the participants are free to elaborate on other related issues.

The qualitative research methodology assists researchers to investigate a problem from the participants' point of view, thus allowing the researchers to determine what the participants think and feel about a particular issue. According to Bless *et al.* (2013:16), this enables the researcher to interpret the participants' thoughts and feelings about the problem being investigated. Furthermore, a case study is an excellent qualitative research method because: (a) the factors and relationships of a phenomenon may be directly observed, (b) in-depth material related to a programme or project may be gathered, and (c) data may be corroborated with

questionnaires, interviews, observations and document analysis (Green, 2007:11). This study used questionnaires, interviews, probing, observations and documents to collect both qualitative and quantitative data in order to corroborate the data which had been collected. The participants answered the questions posed in their own words and focused on cooperative government and intergovernmental relations. Bevir (2011:51; 54) is of the view that interpretive approaches to government are about actions, practices and social life because interpretive theories believe that meanings produce actions. In most instances, qualitative researchers collect data in the field at the site where the participants experience/d the issue or problem under study (Creswell, 2014:185). In this study the researcher collected the data from the participants (housing beneficiaries, and housing officials coordinating the programme at provincial level). The data which was collected and analysed assisted the researcher to answer the research questions to realise the research objectives.

#### **4.3.3 Quantitative research methodology**

In this study, the semi-structured questionnaires also contained closed questions. Answers of these questions provided the quantitative data. Closed questions were asked because: (a) they provide standardised answers that may be compared from person to person, (b) they save time and money because there is little room for probing, (c) structured questions may be distributed to the participants for self-administration, (d) they provide answers that are relatively complete, (e) they limit the answers and it is not possible to qualify the answers because participants choose the answers from a choice of given answers, (f) they invite brief, focused answers and allow the interviewer to maintain tight control over the direction of the conversation and they are useful, (g) they may be answered easily and quickly, (h) they result in shorter answers to process, (i) they may be answered with a simple yes or no and (j) they are commonly used to collect data from a sample that represents the total population (Bone & Griffin, 2014:223).

As highlighted above face-to-face interviews were conducted and the participants answered the posed closed questions by choosing the correct answers from the answers provided. Quantitative data is analysed using statistical procedures and

the findings may be generalised from the small sample to the entire population (Bless *et al.*, 2013:16). Thus, the quantitative results of this study may be generalised to other projects where the CTA's participated. The quantitative data collected was analysed in two phases. The first phase involves presenting the reliability of the instrument using Cronbach's alpha. The second phase presented the descriptive statistics of the sample using frequencies, and proportions for categorical data, means and standard deviations for continuous variables. (Croker & Heigham, 2009:4). The results are then recorded in Chapter 5 of the study.

## **4.4 DATA SOURCES**

Evaluation research is a systematic way to collect information about the characteristics, activities, and results of a programme in order to make decisions about the programme. This process helps to determine whether the programme is functioning as intended, or meeting its goals and objectives, and may help to identify areas for improvement. The main data collection techniques used in this research study were interviews, questionnaires, literature reviews and observations.

### **4.4.1 Interviews**

Interviewing is one of the most common methods of collecting information from individuals. There are various types of interviews that are used to collect data. These include structured, semi-structured and unstructured interviews.

#### ***4.4.1.1 Structured interviews***

In structured interviews, the interviewer uses a set of predetermined questions which are short and clearly worded; in most cases, these questions are closed and therefore, require precise answers in the form of a set of options read out or presented on paper. This type of interviewing is easy to conduct, and can be easily standardised as the same questions are posed to all participants. According to Owens, (1991:241)) structured interviews are most appropriate when the goals of the study are clearly understood and specific questions can be identified.

#### ***4.4.1.2 Unstructured interviews***

These are wholly open-ended instruments in which interviewers have a list of topics they want respondents to talk about but are free to phrase the questions as they wish. The respondents are free to answer in any way they choose. The following are main advantages of the interview method of data collection:

- Are well-suited for obtaining detailed information;
- Provide direct contact with the users often leading to specific, constructive suggestions; and
- Few participants are needed to gather rich and detailed data.

Depending on the need and design, interviews can be unstructured, structured, and semi-structured with individuals, or may be focus-group interviews (Bryman & Bell, 2015:362).

#### ***4.4.1.3 Semi-structured interviews***

This method of interview has features of both structured and unstructured interviews and therefore uses both closed and open questions. As a result, it has the advantage of both methods of interview. In order to be consistent with all participants, the interviewer has a set of pre-planned core questions for guidance so that the same areas are covered with each interviewee. As the interview progresses, the interviewee is given the opportunity to elaborate or provide more relevant information if he/she opts to do so. In this study a semi-structured interview guide is used to collect data from the key informants. The following officials were interviewed due to their extent of participation in the SACTSP. Two national programme coordinators from the. National Department of Human Settlements, six provincial coordinators from three participating provinces, three programme managers at provincial level and seven managers at the municipal level where the CTA's are deployed.

#### **4.4.2 Questionnaires**

One method which can be used to ask questions is to use a questionnaire. This is a set of written questions on a sheet with spaces provided for respondents to reply to the questions. Questionnaires are frequently self-administered or they may be used during an interview. A questionnaire is most useful when you want to collect a small amount of clearly defined facts from a large number of people (Bryman & Bell, 2015:365). Although very useful, there are two important disadvantages of self-administered questionnaires: Only people who can read and write can answer them. In the study a set of questionnaires was distributed to the identified housing projects where the CTAs participated in building the houses in Mpumalanga, Limpopo, Free State and the Western Cape. The same questionnaires were also distributed to housing beneficiaries where the CTAs did not assist in building their houses (control groups) The participants, all rightful owners of state subsidies, were selected by means of systematic random sampling.

#### **4.4.3 Observation**

Observation is perhaps the technique most closely related to everyday life. It involves watching and recording the behaviour of individuals or groups, or the events that occur in a particular place. One of the advantages of using this approach is that the researcher may choose when and where to carry out the observation procedure and so ensure that the researcher will have a good chance of seeing the people or the behaviour the researcher wish to observe (Baxter & Jack, 2008:93). In the study the researcher as a participant observer carried out observational methods of data collection and evaluations by observing how the CTAs engage housing beneficiaries and different stakeholders in the process of building their houses.

### **4.5 ETHICAL CONSIDERATIONS**

This being a qualitative study, the researcher has to interact deeply with the participants and the tutor, thus entering their personal domains of values, weaknesses, individual learning disabilities and the like to collect data. Stake

(1995:78) reminds researchers that they should always remember that while they are doing their research, they are in actual fact entering the private spaces of their participants.

Understandably, this raises several ethical issues that should be addressed during, and after the research had been conducted. Creswell (2003:206) states that the researcher has an obligation to respect the rights, needs, values and desires of informants. Mertens (1998:269) list several issues that researchers should consider when analysing data. They caution researchers to be aware of these and other issues before, during, and after the research had been conducted. Some of the issues involve the following:

- Informed consent (*Do participants have full knowledge of what is involved?*);
- Harm and risk (*Can the study hurt participants?*);
- Honesty and trust (*Is the researcher being truthful in presenting data?*);
- Privacy, confidentiality, and anonymity (*Will the study intrudes too much into group behaviours?*); and
- Intervention and advocacy (*What should researchers do if participants display harmful or illegal behaviour?*).

One of the normally unexpected concerns relating to ethical issues is the cultural sensitivity. Quinlan *et al.* (2015) argues that the relationship between the researcher and the subject during an interview needs to be considered in terms of the values of the researcher and cultural aspects.

Therefore, appropriate steps should be taken to adhere to strict ethical guidelines in order to uphold participants' privacy, confidentiality, dignity, rights, and anonymity. In view of the forgoing discussion, the following section describes how ethical issues in the conduct of the research have been addressed:

#### **4.5.1 Informed consent**

The researcher informed the participants of the purpose, nature, data collection methods, and extent of the research prior to commencement. Furthermore, the



researcher explained to them their typical roles; this was very critical as the approach was altogether different from the traditional face-to-face approach. In line with this, the researcher obtained their informed consent in writing.

#### **4.5.2 Harm and risk**

In this research study the Researcher guaranteed that no participants were put in a situation where they might be harmed as a result of their participation, physical and psychological.

#### **4.5.3 Honesty and trust**

Adhering strictly to all the ethical guidelines serves as a standard about the honesty and trustworthiness of the data collected and the accompanying data analysis.

#### **4.5.4 Privacy, confidentiality, and anonymity**

The researcher ensured that the confidentiality and anonymity of the participants would be maintained through the removal of any identifying characteristics before widespread dissemination of information. The researcher made it clear that the participants' names would not be used for any other purpose, nor would information be shared that reveals their identity in any way

#### **4.5.5 Voluntary participation**

Despite all the above-mentioned precautions, it was made clear to the participants that the research was only for academic purpose and their participation in it was absolutely voluntary. No one was forced to participate.

### **4.6 VALIDITY AND RELIABILITY**

In order to ensure validity of the study, the researcher submitted the findings to: (a) UNECA as the Cuban agency that monitor the programme in South Africa. (b) the

National Department of Human Settlements and all provinces participating in the programme. The stakeholders were requested to check whether they would confirm the researcher's interpretations (results) of the analysed data. Bryman (2012:391) advises that participant validation is important in qualitative research studies because it assists researchers to ensure that there is sound correspondence between their findings and perspectives and the lived experiences of their research participants.

Rallis and Rossman (2012:65) concur by stating that participant validity or member checking allows the participants to check the findings and, thus, to elaborate, correct, extend or argue about them (findings) while, on the hand, this provides researchers with opportunities for eliciting further information and analysis using interview transcriptions if disagreements or new and valuable data emerges. It should be noted that the validity of a research study or project as a whole refers to its accuracy, meaningfulness and credibility (Leedy & Ormrod, 2014:103) and not the truth or certainty about an issue.

Validity indicates only the degree to which a research method or instrument measures what it is supposed to be measuring and not the research study as a whole (Garry, 2009:107). Research instruments were used in this study to determine the effectiveness of the SACTSP in the lives of the South African housing beneficiaries. The findings are discussed in Chapter 5 of the study. The literature sources, research methodologies and data collection instruments were also cross-checked for validity purposes. As stated by Morrell *et al.* (2014:365), validation refers to the process of checking the validity of findings or conclusion through analysis or cross-checking with other sources.

It will only be possible to determine the reliability of the findings of this study in the future because reliability in this context refers to the accuracy and consistency of the research instrument in producing the same results when repeated, in particular, if the circumstances remain the same (Bless *et al.*, 2013; Yin, 2014:125). Reliability also implies repeatability, consistency and replicability.

## **4.7 TRUSTWORTHINESS**

As explained above, the trustworthiness of the findings was evaluated by submitting the findings to various main stakeholders involved in the programme. According to Leedy and Ormrod (2014:272), trustworthiness determines the extent to which participants and readers perceive the study's findings in such a way that they are convinced about the findings and they take the study seriously. Researchers must demonstrate the trustworthiness of their research studies by setting standards for judging such trustworthiness. The readers should be convinced that the study has both merit and worth and that the results are credible and potentially useful as regards guiding future research studies and practices.

The standard for judging trustworthiness must also include accepted principles and practices governing ethical engagement with the participants. Adhering to ethical issues is an acceptable practice (Rallis & Rossman in Croker & Heigham, 2009:264). In this study, ethical issues were adhered to and the participants were given copies of the ethics clearance certificate issued by the University of South Africa. In addition, the participants were also requested to sign informed consent forms before they were interviewed and the purpose of the study and the ethical issues involved were explained to them.

The next chapter is about analysing the collected data and the presentation of the results for the analysed data.

## CHAPTER 5: DATA ANALYSIS AND RESULTS

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### 5.1 INTRODUCTION

The chapter presents the findings from the cross-sectional study. The objective of this chapter is to analyse the quantitative data acquired from the questionnaire survey. The main objective of the study was to evaluate the effectiveness of the South Africa-Cuba Technical Support Programme (SACTSP) as currently applied in the participating provincial departments of human settlements. The study had four research objectives. The specific objectives were firstly to analyse the environment that led to the origin and the development of the SACTSP; secondly to assess (against the international theoretical background) the development and applications of post-apartheid South Africa's self-help housing policy with special focus on government-aided self-help housing, thirdly to evaluate, by comparing housing case studies where CTAs (Cuban Technical Advisors) were involved in assisting beneficiaries and cases where CTAs were not involved in assisting housing beneficiaries and lastly to make recommendations that will help in the effective implementation of the SACTSP.

The analysis is presented in five principal stages involving descriptive and inferential statistics. The first phase involves presenting the reliability of the instrument using Cronbach's alpha. The second phase presents the descriptive statistics of the sample using frequencies, and proportions for categorical data and means and standard deviations for continuous variables. The validity of the instrument then follows using exploratory factor analysis which explains the observed variables that are linked to underlying factors. The fourth phase involves calculation of composite variables using the means and averages to determine the trend patterns in the data. The central limit theorem was applied to the data and comparative analyses were done to determine whether views differed by socio-demographic variables. The two sample independent t-tests were done to determine whether views of the respondents differed for two-categorical variables and the one-way Analysis of Variance (ANOVA) was used to determine whether views differ for variables with more than two categories. The fifth stage presented

the correlation analysis which was used to determine the extent or degree of the relationship between the constructs. The chapter then ends with a summary.

## **5.2 RELIABILITY**

According to Cooper and Schindler (2014:91), reliability is a characteristic of measurement concerned with accuracy, precision, and consistency; a necessary but not sufficient condition for validity (if the measure is not reliable, it cannot be valid). It relates to the extent to which measurement instrument yields consistent information about the characteristic(s) being measured (Leedy & Ormrod, 2015:19). The authors further indicated that internal consistency reliability is the extent to which all of the items within a single instrument yield similar results. The reliability of the instrument, that is, its internal consistency was measured using Cronbach's alpha. High correlation is expected on the scale items measuring the same construct. Thus, a low measure of correlation indicated low internal consistency within the scale item. In such cases, items that lowly correlate with the other scale items are dropped from the analysis.

According to Bryman and Bell (2015), Cronbach's alpha is a commonly used test of internal reliability which essentially calculates the average of all possible split-half reliability coefficients and it ranges from 0 (denoting no internal reliability) to one (denoting perfect internal reliability). A high coefficient for Cronbach's alpha is desired and it depicts that the scale items are strongly related and therefore measuring the same construct. According to Hair *et al.* (2014), the general acceptable Cronbach's  $\alpha$  coefficient must be at least .70 although it might decrease to .6 in exploratory research. A "high" value of alpha is often used (along with substantive arguments and possibly other statistical measures) as evidence that the items measure an underlying (or latent) construct. Manerikar (2015:27)'s guidelines were used to determine the level of reliability where the rule of thumb is that if it is  $\geq .9$  then it is excellent (high-stakes testing),  $\geq .7$  it is good (low-stakes testing),  $\geq .6$  it is acceptable,  $\geq .5$  it is poor and  $< .5$  it is unacceptable. The results of the reliability of the instrument using Cronbach's alpha are presented in Table 1.1.

**Table 1.1: Reliability analysis results of the constructs**

CONSTRUCT	NO. OF ITEMS	CRONBACH'S ALPHA	ACCEPTABLE LEVEL
Quality and size of house	23	.989	Excellent
Maintenance and repair	13	.952	Excellent
Assistance or involvement of CTA	15	.833	Good
Type of knowledge, skills or training obtained from CTA	9	.959	Excellent
Form of skills transferred	9	.957	Excellent
House value and beneficiaries' interest	8	.704	Good
Challenges encountered	16	.946	Excellent
Improvements and recommendations	18	.992	Excellent
<b>Total</b>	<b>111</b>	<b>.902</b>	<b>Excellent</b>

All the constructs had reliabilities of more than .9 except the constructs “*assistance or involvement of CTA*” and “*house value and beneficiaries interest*” with reliabilities of .833 and .704 respectively. According to the recommendations by Manerikar (2015:43), the reliabilities are all at an acceptable level. The instrument had 111 items in total and the overall reliability of the instrument was .902 which is excellent (high-stakes testing) and thus the instrument was reliable. The test confirms that the questionnaire was a reliable data collection tool in this research and that the data was appropriate for further analysis.

### 5.3 RESPONSE RATE ANALYSIS

As mentioned in the methodology chapter, the total population was 300 and using the Gay, Mills and Airasian (2012:102) guidelines, the targeted sample was 150. A sample of 100 was obtained giving a response rate of 66%. This response rate is much higher than the average response rate of 55.6% with a standard deviation of 19.7 as reported by Baruch (1999:17) in a meta-analysis of 176 academic journals. Thus, the response rate was deemed acceptable and 100 questionnaires were used for statistical analysis.

### 5.4 CHARACTERISTICS OF THE SAMPLE

The characteristics of the sample will be discussed under the following headings:

- Socio-demographic characteristics of the sample;
- Quality and size of the house;
- Maintenance and repairs;

- Transference of skills by CTAs to beneficiaries;
- House value and beneficiaries' interest;
- Challenges encountered; and
- Improvements and recommendations

The variables were discussed using frequencies, proportions and means. The items in a construct were assessed using a five-point Likert Scale. The average of each item was calculated and it was used for ranking with the aspect on top being the one with the lowest average in the construct. Items in a construct were averaged to come up with a composite variable which represent all the items in the construct. The graphical techniques used to depict the distribution of the overall scores were the histogram and boxplot.

#### 5.4.1 Socio-demographics characteristics of the sample

The participants were asked to provide general information about their profile including gender, age, marital status, highest educational level, employment status, distance of house from nearest city or town, involvement of Cuban Technical Support (CTA) in construction of the house and length of time waiting to be allocated to a house. In total 100 residents participated in the study. The socio-demographic characteristics are presented in Table 5.2.

**Table 1.2: Socio-demographic information of the residents**

VARIABLE	CATEGORY	CTA	NON-CTA	TOTAL
<b>Gender</b>	Male	29 (55.8%)	23 (53.5%)	52 (54.7%)
	Female	.23 (44.2%)	20 (46.5%)	43 (45.3%)
	<b>Total</b>	<b>52 (100.0%)</b>	<b>43 (100.0%)</b>	<b>95 (100.0%)</b>
<b>Age</b>	Less than 40 years	14 (27.5%)	9 (20.9%)	23 (24.5%)
	40 - 49 years	19 (37.3%)	10 (23.3%)	29 (30.9%)
	50 - 59 years	15 (29.4%)	17 (39.5%)	32 (34.0%)
	60 years and above	3 (5.9%)	7 (16.3%)	10 (10.6%)
	<b>Total</b>	<b>51 (100.0%)</b>	<b>43 (100.0%)</b>	<b>94 (100.0%)</b>
<b>Marital Status</b>	Never married	4 (7.8%)	7 (16.3%)	11 (11.7%)
	Married	20 (39.2%)	16 (37.2%)	36 (38.3%)
	Divorced	7 (13.7%)	6 (14.0%)	13 (13.8%)
	Separated	8 (15.7%)	7 (16.3%)	15 (16.0%)
	Widowed	10 (19.6%)	6 (14.0%)	16 (17.0%)
	Living with partners	2 (3.9%)	1 (2.3%)	3 (3.2%)

VARIABLE	CATEGORY	CTA	NON-CTA	TOTAL
	<b>Total</b>	<b>51 (100.0%)</b>	<b>43 (100.0%)</b>	<b>94 (100.0%)</b>
<b>Highest educational level</b>	Standard 8/Grade 10 and below	24 (46.2%)	12 (27.9%)	36 (37.9%)
	Standard 9/Grade 11	9 (17.3%)	8 (18.6%)	17 (17.9%)
	Standard 10 / Grade 12	5 (9.6%)	11 (25.6%)	16 (16.8%)
	Certificate	8 (15.4%)	9 (20.9%)	17 (17.9%)
	Diploma	6 (11.5%)	3 (7.0%)	9 (9.5%)
	<b>Total</b>	<b>52 (100.0%)</b>	<b>43 (100.0%)</b>	<b>95 (100.0%)</b>
<b>Employment status</b>	I am permanently employed	22 (38.6%)	6 (14.0%)	28 (28.0%)
	I am temporarily employed	24 (42.1%)	11 (25.6%)	35 (35.0%)
	I am self-employed (own small business)	3 (5.3%)	7 (16.3%)	10 (10.0%)
	I do some informal jobs/ selling	7 (12.3%)	12 (27.9%)	19 (19.0%)
	Unemployed	1 (1.8%)	7 (16.3%)	8 (8.0%)
	<b>Total</b>	<b>57 (100.0%)</b>	<b>43 (100.0%)</b>	<b>100 (100.0%)</b>
<b>Distance from nearest city or town</b>	Not more than 5km	10 (34.5%)	-	10 (34.5%)
	6 – 10km	9 (31.0%)	-	9 (31.0%)
	More than 10km	10 (34.5%)	-	10 (34.5%)
	<b>Total</b>	<b>29 (100.0%)</b>		<b>29 (100%)</b>
<b>Waiting time for house</b>	Not more than 5 years	18 (66.7%)	-	18 (66.7%)
	More than 5 years	9 (33.3%)	-	9 (33.3%)
	<b>Total</b>	<b>27 (100.0%)</b>	-	<b>27 (100%)</b>

Out of 95 respondents, male participants outnumbered the females at 54.7% (52), whereas the females were at 45.3% (n=43). Thus, the ratio of females to males was 4:5. It can be noted that most of the households are headed by males and thus the head of the household is the one likely to answer the questionnaire.

A total of 94 participants indicated their age. More than half (64.9%: n=61) of the respondents were between the ages of 40 and 59, while 10.6% (n=10) were 60 years and older and 24.5% (n=23) were less than 40 years old.

Out of the 95 respondents, close to 40% (39.6%: n=36) were married, 17.6% (n=16) were widowed, 16.5% (n=15) were separated, 14.3% (n=13) were



divorced and 12. 1% (n=11) never married. It can be noted that only 40% of house owners are married.

Close to 40% (37.9%: n=36) have standard 8/grade 10 qualification, 17.9% (n=17) have standard 9/grade 11, the same proportion of 17.9% (n=17) have certificates, 16.8% (n=16) have standard 10/grade 12 and only 9.5% had diplomas. It can be noted that no respondents had a higher qualification (Bachelor, Master or Doctorate degree). While a substantial number (56%) had grade 11 and below, the majority of the respondents did not have matric qualification.

The majority of respondents (92%) had work of some sort. About 35% (n=35) were temporarily employed, 28% (n=28) were permanently employed, 18% (n=19) do some informal jobs and 10% (n=10) were self-employed. Only 8% (n=8) were unemployed.

The question on the distance from the nearest city or town was only answered with 29 people. About 35 % indicated that there are not more than 5km from the city or town, 31% are within 6 – 10 km and 35% are more than 10km from the town.

Over half of the respondents (57%: n=57) agreed that the CTA was involved in the construction of their house while 43% (n=43) indicated that they did not participate. In terms of period spend waiting for the house, only 27 responded to the question. About 66.7% waited for not more than 5 years while a third waited for more than 5 years.

#### 5.4.2 Quality and size of the house

The respondents were asked to indicate the size of the house. There were 99 valid responses as shown in Table 1.3.

**Table 1.3: Size of the house**

SIZE	CTA	NON-CTA	TOTAL
40m <sup>2</sup>	4 (7. 0%)	8 (19. 0%)	12 (12. 1%)
41m <sup>2</sup>	-	8 (19. 0%)	8 (8. 1%)
42m <sup>2</sup>	3 (5. 3%)	26 (61. 9%)	29 (29. 3%)
50m <sup>2</sup>	50 (87. 7%)	-	50 (50. 5%)
<b>TOTAL</b>	<b>57 (100. 0%)</b>	<b>42 (100. 0%)</b>	<b>99 (100. 0%)</b>

Almost half of the respondents, 50.5% indicated that their house was 50m<sup>2</sup> in size while 29.3% (n=29) indicated that it was 42m<sup>2</sup>. Thus, the majority of the houses are either 50m<sup>2</sup> or 42m<sup>2</sup>. Only 20% are either 40m<sup>2</sup> or 41m<sup>2</sup>.

The participants were asked to assess their satisfaction on 23 aspects on the size and quality of the house measured on a Likert scale that ranged from 1 (very satisfied) to 5 (very dissatisfied). A mean of less than 2.5 indicated that overall the participants were satisfied while a mean of 3.5 and more meant that the participants were dissatisfied. The information is presented in Table 1.4.

**Table 1.4: The level of satisfaction on issues on size and quality of house**

STATEMENT	CTA				NON-CTA			
	Satisfied	Neither satisfied nor dissatisfied	Dissatisfied	Mean	Satisfied	Neither satisfied nor dissatisfied	Dissatisfied	Mean
Q10q. State of walls in your PHP house	92.6% (50)	7.4% (4)	-	1.83	-	7.1% (3)	92.9% (39)	4.12
Q10p. The overall design of the house (e.g. structure)	90.9% (50)	9.1% (5)	-	1.84	-	38.1% (26)	61.9% (26)	3.71
Q10w. The overall service provided by SACTSP	96.4% (54)	3.6% (2)	-	1.88	-	8.3% (1)	92.7% (11)	4.42
Q10r. The material making the windows in your PHP house	89.1% (49)	10.9% (6)	-	1.91	-	9.8% (4)	90.2% (37)	4.00
Q10v. The overall condition of the home/apartment	96.4% (54)	3.6% (2)	-	1.98	-	7.3% (3)	92.7% (38)	4.00
Q10u. The type of bricks used to build the house	93.0% (53)	7.0% (4)	-	1.98	-	12.5% (5)	87.5% (35)	4.00
Q10n. The adequacy of lighting in the house (e. g. electricity bulbs)	91.3% (42)	6.5% (3)	2.2% (1)	1.98	2.4% (1)	40.5% (17)	57.1% (24)	3.62
Q10o. The adequacy of ventilation in the home (e. g. number of windows)	92.9% (52)	5.4% (3)	1.8% (1)	2.02	-	33.3% (14)	66.7% (28)	3.79
Q10j. The type of material used for the doors	83.6% (46)	12.7% (7)	3.6% (2)	2.11	-	7.3% (3)	92.7% (38)	4.05
Q10m. The type of wood used for the cupboards n the bedrooms	82.2% (37)	15.6% (7)	2.2% (1)	2.18	-	7.5% (3)	92.5% (37)	4.05
Q10a. The overall size of the house	73.7% (42)	22.8% (13)	3.5% (2)	2.21	-	14.0% (6)	86.0% (37)	4.02
Q10s. The quality of floors	78.2% (43)	18.2% (10)	3.6% (2)	2.22	-	10.0% (4)	90.0% (36)	4.13
Q10k. The type of material used in the kitchen	69.1% (38)	29.1% (16)	1.8% (1)	2.25	-	4.8% (2)	95.2% (40)	4.14
Q10l. The type of material used in the	66.1%	30.4%	3.6%	2.34	-	9.8%	90.2%	4.10

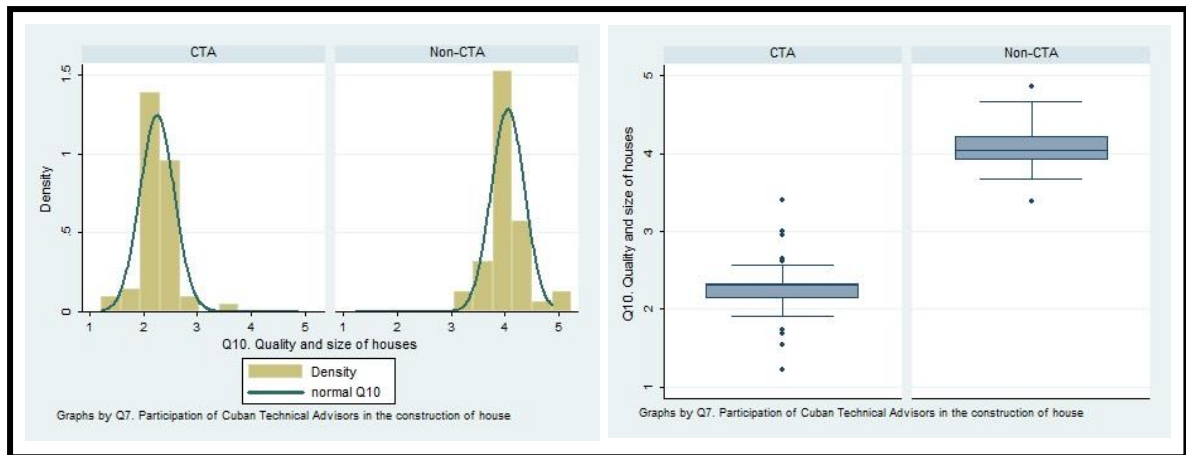
STATEMENT	CTA				NON-CTA			
	Satisfied	Neither satisfied nor dissatisfied	Dissatisfied	Mean	Satisfied	Neither satisfied nor dissatisfied	Dissatisfied	Mean
bathrooms and toilets	(37)	(17)	(2)			(4)	(37)	
Q10t. The adequacy of the space of the PHP houses	69.8% (37)	26.4% (14)	3.8% (2)	2.36	-	7.5% (3)	92.5% (37)	4.05
Q10g. The condition of the bedrooms	59.6% (34)	38.6% (22)	1.8% (1)	2.39	-	2.4% (1)	97.6% (41)	4.17
Q10i. The condition of the toilets and bathrooms	59.2% (29)	22.4% (11)	18.4% (9)	2.49	-	4.8% (2)	95.2% (40)	4.21
Q10h. The condition of the lounge/living area	52.6% (30)	43.9% (25)	3.5% (2)	2.49	-	4.9% (2)	95.1% (39)	4.12
Q10b. The adequacy of the number of bedrooms in the house	49.1% (28)	45.6% (26)	5.3% (3)	2.51	-	9.3% (4)	90.7% (39)	4.07
Q10e. The size of the bedrooms	49.1% (28)	43.9% (25)	7.0% (4)	2.60	-	-	100.0% (42)	4.21
Q10f. The adequacy of the space in the lounge/living area	38.6% (22)	52.6% (30)	8.8% (5)	2.70	-	4.9% (2)	95.1% (39)	4.12
Q10d. The size of the kitchen	31.6% (18)	57.9% (33)	10.5% (6)	2.77	-	5.3% (2)	94.7% (36)	4.21
Q10c. The adequacy of the number of toilets and bathrooms in the house	31.6% (18)	49.1% (28)	19.3% (11)	2.79	-	11.6% (5)	88.4% (38)	4.05

Only one item had an average less than 2.5. About 79.4% (n=54) indicated that they were satisfied by the overall service provided by SACTSP and the mean was 2.32. In terms of proportions, more than half of the participants were satisfied with the overall condition of the home/apartment (55.7%); the type of bricks used to build the house (54.7%); the adequacy of ventilation in the home (e.g. number of windows) (53.1%); state of the walls in the PHP house (52%), the overall design of the house (e.g. structure) (51.5%) and the material making the windows in their PHP house (51.1%). Close to half (49.9%) were satisfied with the type of material used for the doors.

On the other hand, 53.9% were dissatisfied with the condition of the toilets and bathrooms and close to half (49%) were dissatisfied with the adequacy of the number of toilets and bathrooms in the house. It can be noted that the level of satisfaction seems to be average as evidenced by most means being close to three.

A composite variable for size and quality was calculated by finding the average of the 23 items. The mean and median levels of satisfaction of the respondents were 3.03 and 2.51 respectively. On average, the participants indicated that the level of satisfaction was to some extent satisfactory. The standard deviation was .948 resulting in a coefficient of variation of 31.27%. There is some variability in the level of satisfaction as the coefficient of variation is not close to zero (no variability).

Approximately 68.26% of the participants had an average rate of satisfaction ranging from 2.08 to 3.98 ( $\pm$  one standard deviation from the mean). It can be noted that the majority of the participants gave ratings from two to four. The histogram and box plot of the construct on size and quality of house is shown in Figure 1.1.



**Figure 1.1: Histogram and box plot showing level of satisfaction on size and quality of house**

The histogram is bimodal. It shows two groups of people, one that are satisfied with the size and quality of the house and the other that is dissatisfied. The data is not normally distributed and this is supported with the box plot with a longer tail to the right. From the boxplot it can be observed that more than 50% of the participants had a rating less than three. It can be concluded that the participants are on average satisfied with aspects on the size and quality of houses.

#### 5.4.3 Descriptive statistics on maintenance and repair

In terms of maintenance and repair, the participants were given 12 items to rate the level of frequency on maintenance and repair. The proportions are depicted in Table 5.5.

**Table 1.5: The level of occurrence on maintenance and repair of house**

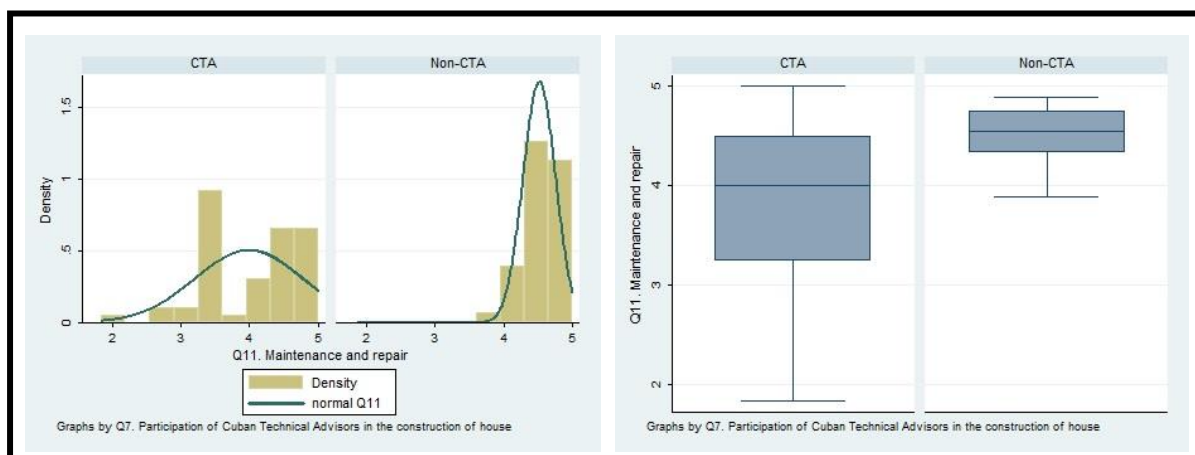
Statement	CTA				Non-CTA			
	Within four months	Once or twice a year	Never so far	Mean	Within four months	Once or twice a year	Never so far	Mean
Q11d. Blockage of water sewer system	44.7% (21)	19.1% (9)	36.2% (17)	3.40	-	58.1% (25)	41.9% (18)	4.37
Q11c. Broken cupboards in the kitchen and bedrooms	47.7% (21)	6.8% (3)	45.5% (20)	3.45	-	50.0% (21)	50.0% (21)	4.50
Q11b. Faulty water taps in the kitchen and bathrooms	4.4% (2)	68.9% (31)	26.7% (12)	3.67	-	55.8% (24)	44.2% (19)	4.42
Q11h. Faulty issues related to electricity	2.3% (1)	60.5% (26)	37.2% (16)	3.86	-	72.1% (31)	27.9% (12)	4.28
Q11e. Broken windows	3.9% (2)	56.9% (29)	39.2% (20)	3.88	-	58.1% (25)	41.9% (18)	4.42
Q11f. Leaking of roofs	3.8% (2)	48.1% (25)	48.1% (25)	3.98	-	40.5% (17)	59.5% (25)	4.57
Q11i. Ceiling	4.1% (2)	46.9% (23)	49.0% (24)	4.06	-	-	-	-
Q11a. Faulty doors	3.7% (2)	64.8% (35)	31.5% (17)	4.06	-	27.9% (12)	72.1% (25)	4.72

Statement	CTA				Non-CTA			
	Within four months	Once or twice a year	Never so far	Mean	Within four months	Once or twice a year	Never so far	Mean
							(31)	
Q11i. Faulty water geysers	4.8% (2)	57.1% (24)	38.1% (16)	4.21	-	11.9% (5)	88.1% (37)	4.88
Q11j. Re-flooring/Tilling	2.0% (1)	60.8% (31)	37.3% (19)	4.29	-	-	100.0% (2)	5.00
Q11m. Water Pressure	7.7% (2)	30.8% (8)	61.5% (16)	4.31	-	-	-	-
Q11g. Faulty stove	4.7% (2)	41.9% (18)	53.5% (23)	4.42	-	51.3% (20)	48.7% (19)	4.49
Q11k. Painting	2.0% (1)	48.0% (24)	50.0% (25)	4.42	-	-	-	-



In terms of averages, all the items had averages close to 4 indicating that most of the repairs never occurred. The participants indicated that no repairs were made on the following repairs; faulty water geysers (63.1%), water pressure (61.5%), leaking of roofs (53.2%), faulty stove (51.2%), painting (50.0%), faulty doors (49.5%) and ceiling (49%). These are the items that have never been needing maintenance or repair. On the other hand, 54.7% indicated that re-flooring and tilling was done once a year. This means that most of the items seem to be durable such that they were not needing maintenance and repair.

A composite variable was created by averaging the level of frequency. A mean less than 2 indicated that maintenance and repairs were done within six months. A mean of 3.5 and more meant that repairs were rarely done or never occurred. The average ranged from 1.85 to 5 giving a range of 3.15. The mean, median and mode were 4.22, 4.46 and 3.25 respectively. Thus on average maintenance and repairs rarely occurs. The standard deviation was 4.218 resulting in a coefficient of variation of 15.81%. Thus, there was less variability between the responses of participants. The box plot below in Figure 1. shows an outlier to the left and data was negatively skewed.



**Figure 1.2: Histogram and box plot showing overall ratings of level of occurrence of maintenance and repairs**

The histogram shows that the level of frequency is negatively skewed, that is, there are few respondents who indicated that they do maintenance and repairs in less than a year. The boxplot shows a long tail to the left and at least 50% of the participants indicated that they had not done any maintenance and repairs so far as evidenced by an average rating of more than four.

The participants were asked to indicate the overall expectation on their house and the proportions are shown in Table 1.

**Table 1.6: Overall expectation of house (n = 90)**

LEVEL OF EXPECTATION	CTA	NON-CTA	TOTAL
It is even better than I expected it to be	9 (16.1%)	-	9 (9.3%)
It is exactly as I expected it to be	12 (21.4%)	4 (9.8%)	16 (16.5%)
It is not as good as I expected it to be	34 (60.7%)	34 (82.9%)	68 (70.1%)
It is much worse than I expected it to be	-	2 (4.9%)	2 (2.1%)
I have never really thought about it (do not know)	1 (1.8%)	1 (2.4%)	2 (2.1%)
	<b>56 (100.0%)</b>	<b>41 (100.0%)</b>	<b>97 100.0 %)</b>

The majority of the respondents, that is, 70.1% (n=68) said that the house was not as good as they expected it to be, 16.5% (n=16) said that it was exactly as they expected it to be while 9.3% (n=9) indicated that it was even better than they expected it to be. Thus, the majority of the people's expectations indicated that the house was not as they expected it to be.

#### **5.4.4 Descriptive statistics on transference of skills by CTAs to beneficiaries**

There were 15 items assessing the assistance or involvement of CTA. The items were measured on a five-point Likert scale ranging from 1 (to a very large extent) to 5 (not to any extent at all). A mean of less than 2.5 indicated that the level of assistance or involvement of CTA occurs to a large extent while a mean more than 3.5 indicated that it occurred to a lesser extent. Table 1.7 gives the levels of extent.

**Table 1.7: The level of extent on issues regarding assistance or involvement of CTA**

Statement	CTA				Non-CTA			
	To a large extent	To some extent	Not to any extent	Mean	To a large extent	To some extent	Not to any extent	Mean
Q13d. Did the CTA ensure that the site foreman was responsible for deciding which teams would work on which stand?	63.5% (33)	9.6% (5)	26.9% (14)	2.55	-	-	100.0% (41)	5.00
Q13i. Were there mechanisms in place for monitoring the payment of workers?	47.7% (21)	11.4% (5)	40.9% (18)	2.60	-	-	100.0% (41)	5.00
Q13j. Were the suppliers hiring and firing the workers as they pleased?	61.9% (26)	9.5% (4)	28.6% (12)	2.63	-	-	100.0% (39)	5.00
Q13n. Did the CTA participate in ensuring fair distribution of completed houses to beneficiaries?	58.5% (31)	13.2% (7)	28.3% (15)	2.71	-	-	100.0% (36)	5.00
Q13e. Was there any exploitation of beneficiaries by outside stakeholders?	46.3% (19)	2.4% (1)	51.2% (21)	2.71	-	-	100.0% (41)	5.00
Q13k. Were there quarrels with the project certifier about the latter's competence to certify houses?	35.3% (18)	9.8% (5)	54.9% (28)	2.71	2.7% (1)	-	97.3% (36)	4.89
Q13f. Were there any problems with payments and delivery of materials?	30.2% (13)	14.0% (6)	55.8% (24)	2.71	-	-	100.0% (41)	5.00
Q13g. Were beneficiaries trained in managing finances of the projects?	19.5% (8)	9.8% (4)	70.7% (29)	2.71	-	-	100.0% (41)	5.00
Q13l. Were there reports that the building materials were being stolen?	6.8% (3)	6.8% (3)	86.4% (38)	2.71	-	2.7% (1)	97.3% (36)	4.95
Q13o. CTA ensured involvement of youth and women in the programme?	66.7% (32)	8.3% (4)	25.0% (12)	3.25	-	-	100.0% (36)	5.00
Q13h. Was the project monitored by the CTA during the construction phase?	66.0% (31)	29.8% (14)	4.3% (2)	3.43	-	-	100.0% (40)	5.00
Q13c. Did the CTA ensure that PHP was accountable to the community?	69.8% (37)	28.3% (15)	1.9% (1)	3.47	-	-	100.0% (41)	5.00
Q13a. Was there any assistance or involvement of the Cuban Technical Advisor during the construction of your house?	70.9% (39)	29.1% (16)	-	3.65	-	-	100.0% (41)	5.00

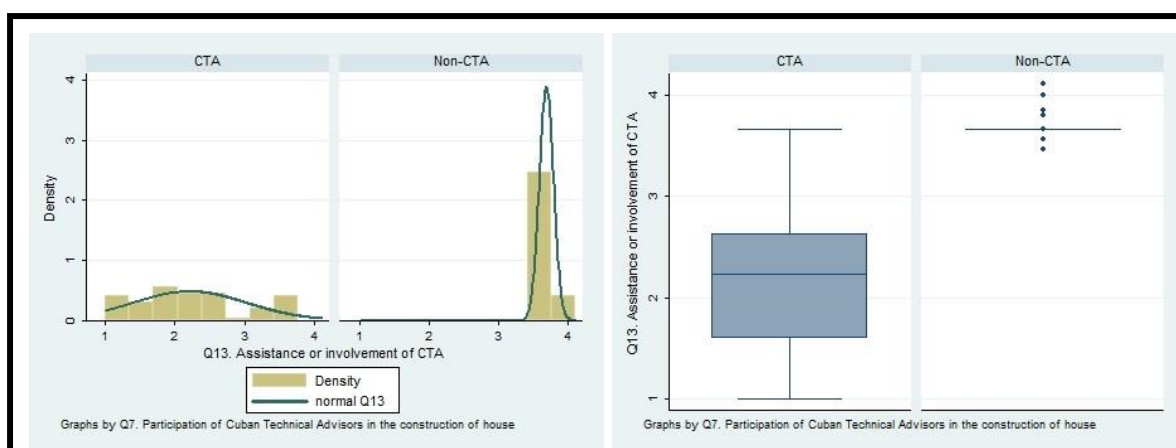
Statement	CTA				Non-CTA			
	To a large extent	To some extent	Not to any extent	Mean	To a large extent	To some extent	Not to any extent	Mean
Q13m. Did the CTA ensure that the beneficiaries participated in the building of the house?	55.4% (31)	42.9% (24)	1.8% (1)	3.65	-	-	100.0% (36)	5.00
Q13b. Is there any benefit (Knowledge, Skills or Training) that you got from the CTAs during the construction of your house?	85.5% (47)	14.5% (8)	-	3.67	-	-	100.0% (41)	5.00

The majority of the people indicated that there was no training of beneficiaries in managing finances of projects (68.3%). Secondly, there was no participation of CTA in ensuring fair distribution of completed house to beneficiary (55.1%). Thirdly, the CTA did not involve any youth and women in the programme (54.8%). Fourthly, the CTA did not ensure that the site foreman was responsible for deciding which teams would work on the stand and lastly, no mechanisms were in place for monitoring the payment of workers (52.9%).

However, about 87.7% indicated that there were no reports that the building materials were being stolen. In addition, 70.7% said there was no exploitation of beneficiaries by outside stakeholders. Close to 65.9% indicated they were no quarrels with the project certifier about the latter's competence to certify houses while 57.1% indicated that there were no problems with payments and delivery of materials and 56.8% indicated that the suppliers were not firing and hiring workers as they pleased.

From the above mentioned proportions one can conclude that not much was done in training and involvement of youth and women in the programmes. However, administration of the programme seems to have been done very well.

Of all the items assessed in this construct, overall, none of them had an average less than three. The average ratings in participation and involvement of CTA had mean and median ratings of 2.835 and 3.462 respectively. Thus, on the average the involvement was to some extent. A standard deviation of .969 was obtained and the coefficient of variation was 34.18%. There seem to be variability in responses of participants as the coefficient of variation is not close to zero (no variability). Using the empirical rule, approximately 68% of the respondents had ratings ranging from 1.87 to 3.80 ( $\pm$  one standard deviation from the mean). This shows that the majority of the participants gave ratings from two to four. The histogram and box plot are shown in Figure 1.3.



**Figure 1.3: Histogram and box plot showing assistance or involvement of CTA**

The highest peak on the histogram indicates that the highest proportion was an average of at least 3.5. The histogram and boxplot show that data is negatively skewed.

The participants were asked to indicate the type of knowledge, skills or training they obtained from CTA and Table 1. gives the information.

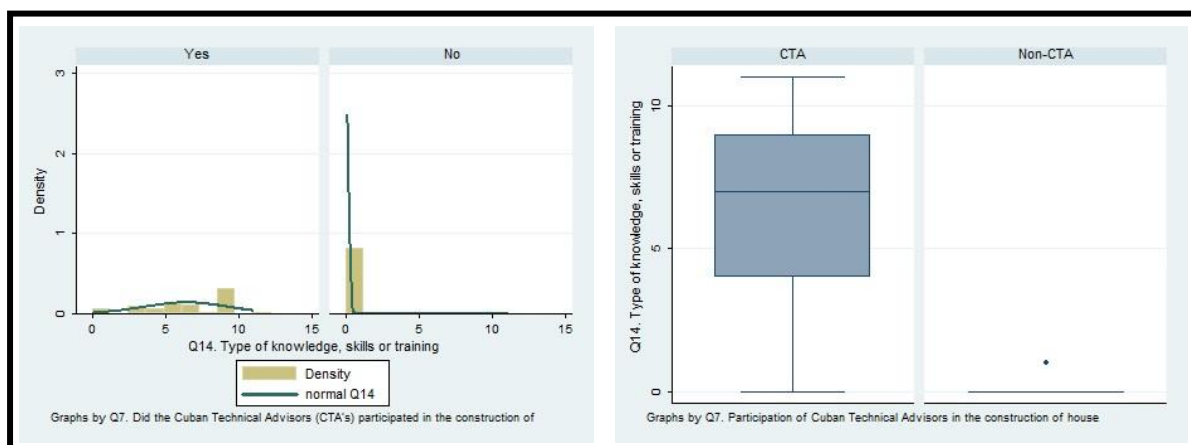
**Table 1.8: The level of acknowledgement on type of knowledge, skills or training obtained from the CTA**

TRAINING	CTA		NON-CTA	
	Yes	No	Yes	No
Q14c. Building skills	94.5% (52)	5.5% (3)	-	100.0% (38)
Q14e. House roofing	94.5% (52)	5.5% (3)	-	100.0% (38)
Q14b. Laying a foundation	92.7% (51)	7.3% (4)	-	100.0% (38)
Q14d. Plastering	78.6% (44)	21.4% (12)	-	100.0% (38)
Q14h. Monitoring of stock (building materials)	63.6% (35)	36.4% (20)	-	100.0% (38)
Q14a. Building designs	60.7% (34)	39.3% (22)	-	100.0% (38)
Q14i. Allocation of houses	60.0% (33)	40.0% (22)	2.6% (1)	97.4% (38)
Q14g. Purchasing of building materials	52.7% (29)	47.3% (26)	-	100.0% (38)
Q14f. Management of finances	44.6% (25)	55.4% (31)	-	100.0% (38)

The participants indicated that they were given building skills (55.9%), taught on house roofing (55.95) and laying a foundation (54.8%). Close to 50% (46.0%) were taught on plastering. However, the majority of the participants were not given

the skills on monitoring of stock (building materials), building designs, allocation of houses, purchasing of building materials, and management of finances.

A composite variable was created by giving a 1 to those who indicated that they were given the knowledge or taught on a type of skill and 0 if they indicated that they were not taught. The total number of skills were nine. A composite variable was formed by adding the ones. It means a person who was taught all the skills would have a total of nine. On the average the mean and median were 3.78 and 3. This means on average participants were taught four out of the nine skills. The standard deviation and coefficient of variation were 3.843 and was 101.69% respectively. There is high variability between the responses the coefficient of variation is not close to zero (no variability). The histogram and box plot are shown in Figure 1.4.



**Figure 1.4: Histogram and box plot showing type of knowledge, skills or training**

The histogram shows that the largest proportion relates to participants who did not receive any kind of knowledge, skills or training. Both boxplots and histograms show that the data is positively skewed. The boxplot shows a long tail to the right and at least 50% of the participants received less than three skills. This means that people did not receive a lot of knowledge, skills or training.

The participants were asked the method used to do the training. Table 1. shows how three methods of training, coaching and mentoring were used to impart skills.

**Table 1.9: Forms of skills transfer**

TRAINING	CTA				NON-CTA			
	Training (seminars, workshops , etc.)	Coaching	Mentoring (attachment to expert)	Never occurred	Training (seminars, workshops , etc.)	Coaching	Mentoring (attachment to expert)	Never occurred
Q15a. Building designs	3.8% (2)	52.8% (28)	7.5% (4)	35.8% (19)	-	-	-	100.0% (40)
Q15c. Building skills	8.9% (5)	76.8% (43)	8.9% (5)	5.4% (3)	-	-	-	100.0% (40)
Q15d. Plastering	9.1% (5)	60.0% (33)	10.9% (6)	20.0% (11)	-	-	-	100.0% (40)
Q15e. House roofing	9.1% (5)	40.0% (22)	45.5% (25)	5.5% (3)	-	-	-	100.0% (40)
Q15f. Management of finances	-	44.2% (23)	5.8% (3)	50.0% (26)	-	-	-	100.0% (39)
Q15g. Purchasing of building materials	3.7% (2)	18.5% (10)	37.0% (20)	40.7% (22)	-	-	-	100.0% (40)
Q15h. Monitoring of stock (building materials)	-	57.4% (31)	5.6% (3)	37.0% (20)	-	-	-	100.0% (40)
Q15i. Allocation of houses	-	48.1% (25)	21.2% (11)	30.8% (16)	-	-	-	100.0% (39)



As observed earlier the majority of the participants indicated that training was never done on plastering (53.7%), monitoring of stock (building materials) (63.8%), building designs (63.5%), allocation of houses (60.4%), purchasing of building materials (66.0%) and management of finances (71.4%). However, 44.8% were coached on building skills while 40.6% were coached on laying a foundation.

#### 5.4.5 Descriptive statistics on house value and beneficiaries interest

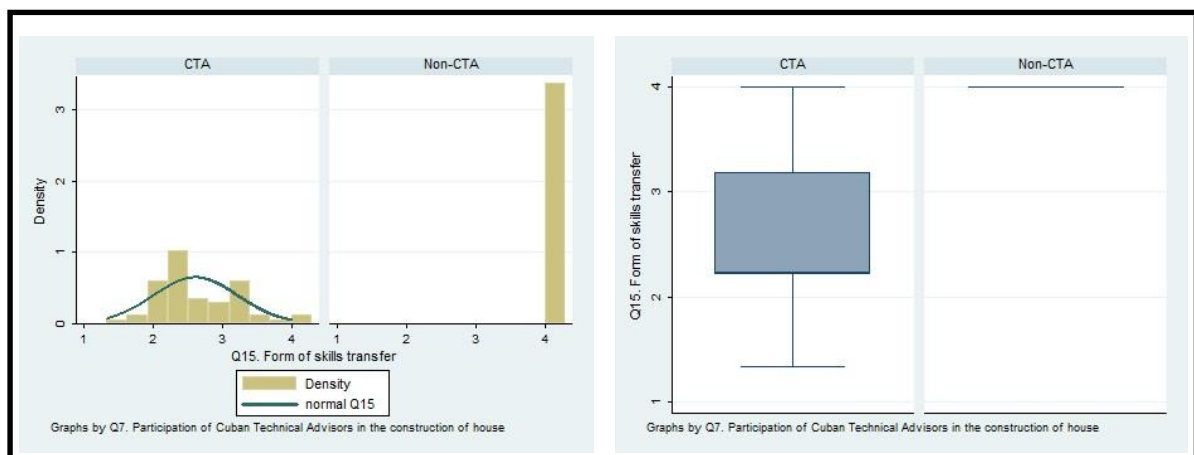
The participants were asked to indicate the level of acknowledgement on issues regarding house value and beneficiary interest. The information is presented in Table 1.2.

**Table 1.20: Level of acknowledgement on issues regarding house value and beneficiary interest**

STATEMENT	CTA			NON-CTA		
	Yes	No	Not sure	Yes	No	Not sure
Q16h. Do you think the house has been of benefit in your life?	96.4% (53)	3.6% (2)	-	95.3% (41)	2.3% (1)	2.3% (1)
Q16e. Do you think you are privileged (e. g., lucky) to have a PHP house?	96.4% (53)	1.8% (1)	1.8% (1)	95.3% (41)	2.3% (1)	2.3% (1)
Q16f. Do you think the whole PHP process ensured value for money?	96.4% (53)	1.8% (1)	1.8% (1)	95.3% (41)	2.3% (1)	2.3% (1)
Q16d. Do you think the community values or appreciates the PHP houses?	94.5% (52)	-	5.5% (3)	74.4% (32)	23.3% (10)	2.3% (1)
Q16g. Do you think some of the PHP houses have more value than the others?	74.5% (41)	5.5% (3)	20.0% (11)	95.3% (41)	2.3% (1)	2.3% (1)
Q16a. If someone made you an offer of R110 000 to buy your house today, would you sell it?	23.6% (13)	10.9% (6)	65.5% (36)	48.8% (21)	41.9% (18)	9.3% (4)
Q16b. If someone offers you to rent your house, would you allow it?	7.3% (4)	16.4% (9)	76.4% (42)	51.2% (22)	44.2% (19)	4.7% (2)
Q16c. Do you agree to exchange your house for RDP or other houses in the community not built by PHP?	5.7% (3)	43.4% (23)	50.9% (27)	27.9% (12)	67.4% (29)	4.7% (2)

About 95.5% indicated that they were privileged to have a PHP house, secondly, that the whole PHP process ensured value for money and thirdly, that the house has been a benefit. About 85.7% indicated that the community values or appreciates the PHP houses an 83.7% indicated the PHP houses have more value than the others. In addition, 54.2% indicated that they would not agree to exchange their house for RDP. houses in the community not built by PHP.

By adding the numbers of yes, that is, yes was given a 1 and no and not sure a 0. There were eight items giving a total of eight. The mean and median were 5.63 and 5 respectively. On average the participants agreed to six out of the eight items. A standard deviation of 1.446 was obtained giving a coefficient of variation of 25.67%. There is some variability between the ratings as the coefficient of variation is not close to zero (no variability). Using the empirical rule, approximately 68% of the participants agreed to 4 to 7 of the statements. The histogram and box plot are shown in Figure 1.5.



**Figure 1.5: Histogram and box plot showing house value and beneficiary interest**

The box plot had outliers on both sides of the distribution. The histogram showed that the distribution was positively skewed. The highest peak was at five. Thus, the largest proportion of participants agreed to five out of the eight statements. The majority of the people agreed to more than five out of the eight statements on house value and beneficiary interest.

#### **5.4.6 Descriptive statistics on challenges encountered**

In terms of challenges encountered, there were 16 items rated on a scale ranging from 1 (to a very large extent) to 5 (not to any extent at all). The results are tabulated in Table 1.3.

**Table 1.3: The level of extent on challenges issues regarding implementation of the programme**

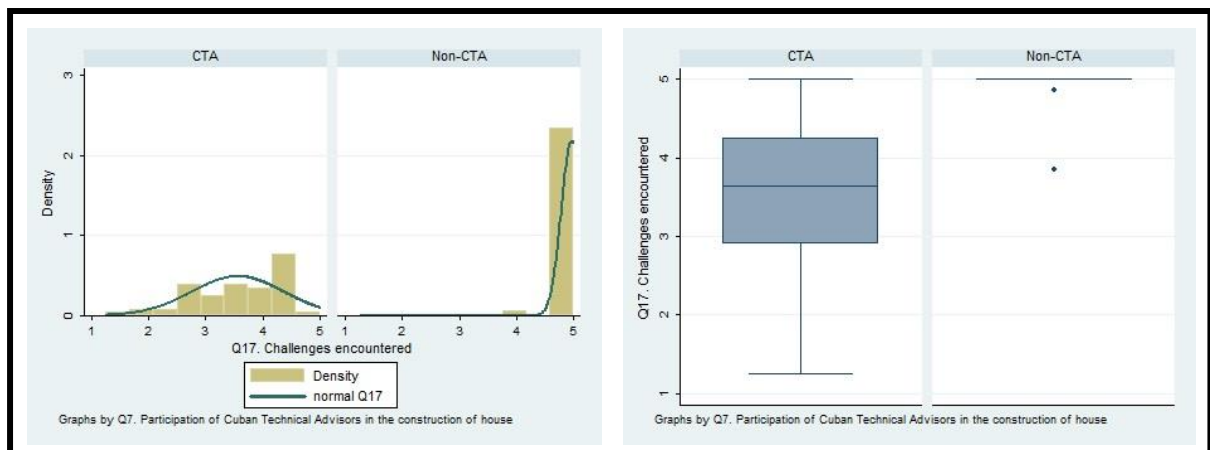
CHALLENGE	CTA				NON-CTA			
	To a large extent	To some extent	Not to any extent	Mean	To a large extent	To some extent	Not to any extent	Mean
Q17e. Lack of training programmes	50.0 % (19)	21.1 % (8)	28.9 % (11)	2.76	-	-	100.0 % (39)	5.00
Q17p. Inadequate supply of bulk water & electricity	26.9 % (7)	38.5 % (10)	34.6 % (9)	2.96	-	-	100.0 % (1)	5.00
Q17c. High crime rate	35.8 % (19)	22.6 % (12)	41.5 % (22)	3.04	-	-	100.0 % (39)	5.00
Q17d. Lack of employment	30.8 % (16)	19.2 % (10)	50.0 % (26)	3.17	-	-	100.0 % (40)	4.98
Q17h. Poor materials used for construction	16.7 % (8)	29.2 % (14)	54.2 % (26)	3.33	-	-	100.0 % (40)	4.98
Q17o. Lack of clean water services	29.4 % (15)	21.6 % (11)	49.0 % (25)	3.39	-	2.5 % (1)	97.5 % (39)	4.95
Q17k. Corruption in allocation of houses to beneficiaries	31.8 % (14)	15.9 % (7)	52.3 % (23)	3.52	-	2.5 % (1)	97.5 % (39)	4.95
Q17i. No consultation process of the CTA with PHP community members	17.0 % (9)	11.3 % (6)	71.7 % (38)	3.58	-	-	100.0 % (40)	5.00
Q17j. Beneficiaries of the houses not the intended group	8.0 % (4)	24.0 % (12)	68.0 % (34)	3.62	-	2.5 % (1)	97.5 % (39)	4.93
Q17f. Low level involvement of the CTA in administration of the project	20.4 % (11)	5.6 % (3)	74.1 % (40)	3.65	-	-	100.0 % (40)	5.00
Q17l. Low level of participation for youth	8.0 % (4)	22.0 % (11)	70.0 % (35)	3.68	-	2.5 % (1)	97.5 % (39)	4.93
Q17n. No access to piped (tap) water	9.8 % (5)	35.3 % (18)	54.9 % (28)	3.71	-	2.5 % (1)	97.5 % (39)	4.95
Q17m. Low level of participation for women	12.0 % (6)	20.0 % (10)	68.0 % (34)	3.72	-	-	100.0 % (40)	4.98
Q17b. Poor quality of the house	11.1 % (6)	20.4 % (11)	68.5 % (37)	3.80	-	2.5 % (1)	97.5 % (39)	4.95
Q17a. Poor communication between the community and the CTA	16.1 %	12.5 %	71.4 %	3.91	-	-	100.0 %	5.00

CHALLENGE	CTA				NON-CTA			
	To a large extent	To some extent	Not to any extent	Mean	To a large extent	To some extent	Not to any extent	Mean
	(9)	(7)	(40)				(40)	
Q17g. Lack of assistance of the CTA in construction of the houses	18.9 % (10)	11.3 % (6)	69.8 % (37)	4.08	-	-	100.0 % (40)	5.00

The majority of participants found the following issues not being serious challenges:

- Lack of assistance by CTA in construction of the houses (77.4%).
- Poor communication between the community and CTA (68.8%).
- Corruption in allocation of houses to beneficiaries (65.5%).
- No access to piped (tap) water (60.4%).
- Poor quality of the house (59.6%).
- Lack of clean water services (57.1%).
- Low level of participation for women (54.4%).
- Lack of training programmes (53.2%).
- Low level involvement of CTA in administration of the project (52.1%).

None of the issues were found by the majority of the participants to be challenges to a large extent. The composite variable resulted in a minimum value of 1.25 and a maximum value of 5 giving a range of 3.75. The mean, median and modal ratings of the participants were 4.15, 4.35 and 5 respectively. Thus, on the average the respondents were of the opinion that there were no challenges on this issues. The standard deviation was .94 giving a coefficient of variation of 22.67%. There is some variability between the average ratings as the coefficient of variation is not close to zero (no variability). About 68.26% of participants had average ratings ranging from 3.21 to 5 ( $\pm$  one standard deviation from the mean). This shows that the majority of the ratings are from three to five. The histogram and box plot of the average ratings are shown in Figure 1.6.



**Figure 1.6: Histogram and box plot showing ratings on challenges encountered**

The histogram showed that the highest peak is at 5 and the boxplot showed that the distributions of the average ratings are negatively skewed. More than 50% of the participants had ratings of more than four indicating that the issues were not challenges at all.

**5.4.7 Descriptive statistics on improvements and recommendations**

Table 1.42 shows how respondents assessed the improvements and recommendations on scale items which were measured on 19 items. The 19 items were measured on a five-point Likert scale that ranged from 1 (to a very large extent) and 5 (to a large extent)

**Table 1.42: The level of extent on issues on improving the implementation of the programme**

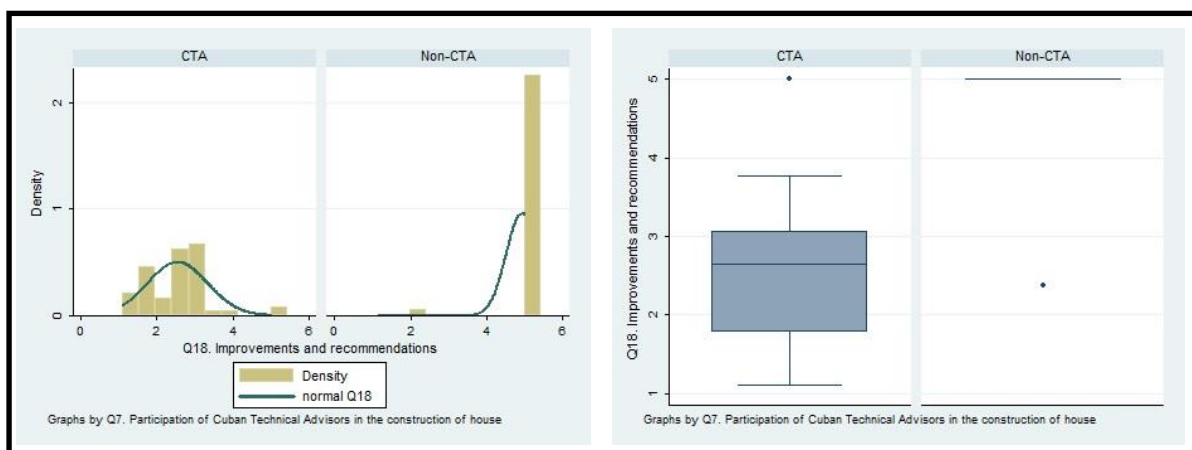
STATEMENT	CTA				NON-CTA			
	To a large extent	To some extent	Not to any extent	Mean	To a large extent	To some extent	Not to any extent	Mean
Q18h. More monitoring and evaluation by the CTA on condition of houses	83.3% (45)	11.1% (6)	5.6% (3)	1.93	-	2.5% (1)	97.5% (39)	4.95
Q18b. Monthly meetings between the CTA and PHP	68.5% (37)	20.4% (11)	11.1% (6)	1.94	-	2.5% (1)	97.5% (39)	4.95
Q18a. More interaction between community and the CTA	75.9% (41)	9.3% (5)	14.8% (8)	2.09	2.5% (1)	-	97.5% (39)	4.90
Q18q. Provided more training to people working on the PHP housing	69.1% (38)	16.4% (9)	14.5% (8)	2.16	2.5% (1)	-	97.5% (39)	4.93
Q18f. Fair allocation systems of PHP houses	62.9% (22)	28.6% (10)	8.6% (3)	2.43	2.5% (1)	-	97.5% (39)	4.93
Q18r. Proper cross checking of suppliers of building materials	40.4% (21)	50.0% (26)	9.6% (5)	2.48	2.5% (1)	-	97.5% (39)	4.93
Q18l. Proximity of houses to social services	37.0% (20)	55.6% (30)	7.4% (4)	2.50	-	2.5% (1)	97.5% (39)	4.95
Q18i. Clean water services	44.4% (24)	50.0% (27)	5.6% (3)	2.50	-	-	100.0% (39)	5.00
Q18g. Proper channels to identify beneficiaries	40.0% (20)	46.0% (23)	14.0% (7)	2.52	2.5% (1)	-	97.5% (39)	4.93
Q18k. Adequate spacing of PHP houses	38.9% (21)	50.0% (27)	11.1% (6)	2.56	-	2.5% (1)	97.5% (39)	4.95
Q18j. Adequate size of PHP houses	43.4% (23)	50.9% (27)	5.7% (3)	2.57	-	2.5% (1)	97.5% (39)	4.95
Q18n. Proper storage of building materials to avoid theft	40.4% (21)	48.1% (25)	11.5% (6)	2.67	-	2.5% (1)	97.5% (39)	4.95
Q18p. Good salary structure for beneficiaries working on the project	42.6% (23)	16.7% (9)	40.7% (22)	2.74	2.5% (1)	-	97.5% (39)	4.93
Q18o. Clear reporting channels on people working on the project	34.6% (18)	51.9% (27)	13.5% (7)	2.81	-	2.5% (1)	97.5% (39)	4.95



STATEMENT	CTA				NON-CTA			
	To a large extent	To some extent	Not to any extent	Mean	To a large extent	To some extent	Not to any extent	Mean
Q18m. Improvement of HIV/AIDs and other related diseases	17.6% (9)	66.7% (34)	15.7% (8)	2.98	2.5% (1)	-	97.5% (39)	4.93
Q18c. Proper sewage system	44.7% (21)	21.3% (10)	34.0% (16)	3.00	2.5% (1)	-	97.5% (39)	4.93
Q18e. Improvements of roads	36.2% (17)	31.9% (15)	31.9% (15)	3.06	-	-	100.0% (39)	5.00
Q18d. Adequate street lights	25.5% (12)	38.3% (18)	36.2% (17)	3.26	2.5% (1)	-	97.5% (39)	4.93

The respondents indicated that there was no fair allocation system of houses (54.7%), no proper sewage system (58.8%), no improvements of roads (60.5%) and no adequate street lights (60.9%). It can be noted there are no improvements in basic utilities. In addition, close to 50% indicated that there was no improvement of HIV/AIDS and related diseases and there was no interaction between community and CTA.

The construction improvements and recommendations had an average mean of 3.55 and a median of 3.06. The standard deviation was 1.355 with a coefficient of variation of 38.13%. There is some variability between the average ratings as the coefficient of variation is not close to zero (no variability). Approximately 68% of the participants had average ratings ranging from 2.20 to 4.91 ( $\pm$  one standard deviation from the mean). The histogram and box plot of the ratings are depicted in Figure 1.7.



**Figure 1.7: Histogram and box plot showing improvements and recommendations**

The histogram shows that the highest peak is at 5 indicating that the largest proportion of participants indicated that the issues did not occur to some extent. More than 50% gave a rating of three and above. The majority of the participants indicated that the improvements and recommendations did not occur at all or occurred to a small extent. The respondents were asked to indicate any other comments.

**Table 1.13: Any other comments (n=29)**

COMMENT	CTA	NON-CTA	TOTAL
RDP Programme	2 (100.0%)	-	2 (6.9%)
No Cuban involvement	-	27 (100.0%)	27 (93.1%)
	<b>2 (100.0%)</b>	<b>27 (100.0%)</b>	<b>29 (100.0%)</b>

From Table 1., it can be shown that about 27 of the participants indicated that there was no Cuban involvement while two indicated that they were involved in RDP programmes.

## 5.5 VALIDITY OF INSTRUMENT USING EXPLORATORY FACTOR ANALYSIS

Exploratory factor analysis using Varimax rotation was used to measure the validity of the instrument. As mentioned in the methodology, the numbers of factors were determined using the latent root criterion. Factor loadings of  $\pm .50$  or greater were considered to be practically significant as proposed by Hair, Black, Babin and Anderson (2014:169). The Kaiser Meyer-Olkin (KMO) and Bartlett test of sphericity were used to assess the appropriateness of the factor analysis. Factor analysis was performed if the Bartlett test had a significant p-value and the KMO had a value of more than .5. In terms of communalities, there should be above .5 or most of the variables should have communalities above .6. Pallant's (2013:180) guideline for a robust solution was used and in this case, the robustness of a solution was taken as that with at least 50% of the variance accounted for.

### 5.5.1 Factor analysis on size and quality of house

There were 23 items measuring size and quality of the house. The method used was principal component analysis with a Varimax rotation. The initial analysis resulted in six items being removed from the analysis due to cross loadings. The items were:

- Q10a. *The overall size of the house;*
- Q10i. *The condition of the toilets and bathrooms;*
- Q10j. *The type of material used for the doors;*

- Q10k. The type of material used in the kitchen;
- Q10u. The type of bricks used to build the house; and
- Q10w. The overall service provided by the SACTSP.

After removal of the items that were cross loaded, a KMO of .918 was obtained and since it is greater than .5, the correlations were adequate for factor analysis. The Bartlett Test of Sphericity, had a highly significant p-value ( $p < .001$ ), which leads to the rejection of the null hypothesis of lack of sufficient correlation between variables. The factor extraction resulted in a one-factor solution with a total variance of 80.3% as shown in Table 1..

**Table 1.14: One-factor structure for quality and size of house**

ITEM	FACTOR 1
Q10v. The overall condition of the home/apartment.	.973
Q10q. State of walls in your PHP house.	.966
Q10r. The material making up the windows in your PHP house.	.966
Q10t. The adequacy of the space of the PHP houses.	.926
Q10p. The overall design of the house (e.g. structure).	.924
Q10o. The adequacy of ventilation in the home (e.g. number of windows).	.921
Q10l. The type of material used in the bathrooms and toilets.	.913
Q10e. The size of the bedrooms.	.900
Q10g. The condition of the bedrooms.	.886
Q10m. The type of wood used for the cupboards in the bedrooms.	.877
Q10s. The quality of floors.	.867
Q10f. The adequacy of the space in the lounge/living area.	.865
Q10n. The adequacy of lighting in the house (e.g. electricity bulbs).	.861
Q10h. The condition of the lounge/living area.	.859
Q10b. The adequacy of the number of bedrooms in the house.	.843
Q10c. The adequacy of the number of toilets and bathrooms in the house.	.841
Q10d. The size of the kitchen.	.826
Q10v. The overall condition of the home/apartment.	.973
Q10q. State of walls in your PHP house.	.966
Q10r. The material making the windows in your PHP house.	.966
Q10t. The adequacy of the space of the PHP houses.	.926
Q10p. The overall design of the house (e.g. structure).	.924
Q10o. The adequacy of ventilation in the home (e.g. number of windows).	.921
Q10l. The type of material used in the bathrooms and toilets.	.913
Q10e. The size of the bedrooms.	.900
Q10g. The condition of the bedrooms.	.886
Q10m. The type of wood used for the cupboards in the bedrooms.	.877
Q10s. The quality of floors.	.867
Q10f. The adequacy of the space in the lounge/living area.	.865
Q10n. The adequacy of lightning in the house (e.g. electricity bulbs).	.861
Q10h. The condition of the lounge/living area.	.859
Q10b. The adequacy of the number of bedrooms in the house.	.843
Q10c. The adequacy of the number of toilets and bathrooms in the house.	.841
Q10d. The size of the kitchen.	.826
<b>Eigen values</b>	<b>13.896</b>
<b>Percentage variance explained</b>	<b>80.265</b>

<b>KMO measure of sampling adequacy</b>	<b>.918</b>
<b>Level of significance:</b>	<b>p&lt;.001</b>

The eigenvalue was 13.896 and the solution was robust since it accounted for 80.3% of the total variance. In practice a robust solution accounted for at least 50% of the variance as proposed by Pallant (2013:52) and in this case it can be concluded that the solution was robust.

The factor was named “*size and quality of house*”. This confirms that all the items were measuring one construct, that is, the items on size and quality of house were highly correlated.

The reliability of the new factor loadings are shown in Table 1..

**Table 1.15: Reliability analysis of new factor loadings on size and quality of house**

<b>FACTOR</b>	<b>NUMBER OF ITEMS</b>	<b>CRONBACH'S ALPHA</b>
Factor 1	17	.985

Looking at Table 1., the reliability of the new factor is .985 and this shows an excellent internal consistency in the items grouped in the new factors. As proposed by Manerikar (2015:12), the reliability is excellent (high-stake testing) and the items are confirmed to be measuring the same factor (  $\alpha \geq 0.7$  ).

### **5.5.2 Factor analysis on issues regarding the assistance or involvement of CTA**

The factor analysis resulted in the item *Q13I. Were there reports that the building materials were being stolen?* This was dropped due to the factor that it had an insignificant loading of less than .5. The KMO statistic was .614, which is greater than .5 and thus the correlations were adequate for factor analysis. The Bartlett's Test of Sphericity resulted in a p-value less than .001 which leads to the rejection of the null hypothesis of lack of sufficient correlation between variables. A two-factor solution was obtained as shown in Table 1..

**Table 1.16: Two factor rotated structure on issues regarding the assistance or involvement of CTA**

ITEM	FACTOR 1	FACTOR 2
Q13d. Did the CTA ensure that the site foreman was responsible for deciding which teams would work on which stand?	.973	
Q13n. Did the CTA participate in ensuring fair distribution of completed houses to beneficiaries?	.961	
Q13o. Did the CTA ensure involvement of youth and women in the programme?	.955	
Q13m. Did the CTA ensure that the beneficiaries participated in the building of the house?	.910	
Q13i. Were there mechanisms in place for monitoring the payment of workers?	.909	
Q13c. Did the CTA ensure that PHP was accountable to the community?	.908	
Q13h. Was the project monitored by the CTA during the construction phase?	.901	
Q13a. Was there any assistance or involvement of the Cuban Technical Advisor during the construction of your house?	.889	
Q13b. Are there any benefits (Knowledge, Skills or Training) that you got from the CTA's during the construction of your house?	.822	
Q13e. Was there any exploitation of beneficiaries by outside stakeholders? (*R)	.708	
Q13j. Were the suppliers hiring and firing the workers as they pleased? (*R)	.684	
Q13g. Were beneficiaries trained in managing finances of the projects?	.667	
Q13f. Were there any problems with payments and delivery of materials? (*R)		.870
Q13k. Were they quarrels with the project certifier about the latter's competence to certify houses? (*R)		.869
<b>Eigen values</b>	<b>10.019</b>	<b>2.101</b>
<b>Percentage variance explained</b>	<b>64.252</b>	<b>19.201</b>
<b>KMO measure of sampling adequacy</b>	<b>.614</b>	
<b>Level of significance:</b>	<b>p&lt;.001</b>	

The eigenvalues were 10.019 and 2.101 for factor 1 and 2 respectively. Factor 1 had all the items except three and was named “*assistance or involvement of CTA*”. The factor accounted for 64.25 of the total variation.

The second factor had two items which are “Q13f. *Were there any problems with payments and delivery of materials?*” and “Q13k. *Were there quarrels with the project certifier about the latter’s competence to certify houses?*”. These items were named “*problems and quarrels*”.

The reliability of the new factor loadings are shown in Table 1.5.

**Table 1.5: Reliability analysis of new factor loadings on issues regarding the assistance or involvement of CTA**

FACTOR	NUMBER OF ITEMS	CRONBACH’S ALPHA
Factor 1	12	.883
Factor 2	2	.820

All the factors had a reliability greater than .8. Thus, this shows a good internal consistency in the items grouped in the new factors. The items are confirmed to be measuring the same construct or factor (  $\alpha \geq 0.7$  ).

### 5.5.3 Factor analysis on challenges encountered

Exploratory factor analysis was done on the sixteen items and four items were dropped from the analysis. The items “Q17j. *Beneficiaries of the houses not the intended group*”, “Q17k. *Corruption in allocation of houses to beneficiaries*”, “Q17l. *Low level of participation for youth*” and Q17m. “*Low level of participant for women*”. were removed due to insignificant loading. A KMO statistic of .706 was obtained. Since it is greater than .5 it can be noted that the correlations were adequate for factor analysis. The Bartlett Test of Sphericity had a highly significant p-value (  $p < .001$  ), which leads to the rejection of the null hypothesis of lack of sufficient correlation between variables. The factor extraction resulted in a three-factor solution as shown in Table 1.188.

**Table 1.18: Three-factor rotated structure on issues regarding the assistance or involvement of the CTA**

ITEM	FACTOR 1	FACTOR 2	FACTOR 3
Q17g. To what extent did you encounter the following challenges/issues regarding the implementation of this programme - Lack of assistance by the CTA in construction of the houses?	.961		
Q17f. To what extent did you encounter the following challenges/issues regarding the implementation of this programme – Low-level involvement of the CTA in administration of the project?	.943		
Q17i. To what extent did you encounter the following challenges issues regarding the implementation of this programme - No consultation process of the CTA with PHP community members?	.909		
Q17b. To what extent did you encounter the following challenges/issues regarding the implementation of this programme - Poor quality of the house?	.810		
Q17h. To what extent did you encounter the following challenges/issues regarding the implementation of this programme - Poor materials used for construction?	.701		
Q17a. To what extent did you encounter the following challenges/issues regarding the implementation of this programme - Poor communication between the community and CTA?	.700		
Q17o. To what extent did you encounter the following challenges/issues regarding the implementation of this programme - Lack of clean water services?		.972	
Q17p. To what extent did you encounter the following challenges/issues regarding the implementation of this programme - Inadequate supply of bulk water & electricity?		.800	
Q17n. To what extent did you encounter the following challenges/issues regarding the implementation of this programme - No access to piped (tap) water?		.778	
Q17d. To what extent did you encounter the following challenges/issues regarding the implementation of this programme - Lack of employment?			.932
Q17e. To what extent did you encounter the following challenges or issues regarding the implementation of this programme - Lack of training programmes?			.787
Q17c. To what extent did you encounter the following challenges/issues regarding the implementation of this programme - High crime rate?			.747
<b>Eigen values</b>	<b>6.624</b>	<b>2.166</b>	<b>1.306</b>
<b>Percentage variance explained</b>	<b>38.134</b>	<b>20.967</b>	<b>20.888</b>
<b>KMO measure of sampling adequacy</b>	<b>.706</b>		
<b>Level of significance:</b>	<b>p&lt;.001</b>		



The first factor had six items and the eigenvalue was 6.624 and the solution accounted for 38.13% of the total variation. The items discussed the lack of assistance or low level involvement of the CTA, lack of consultation of the CTA, poor quality of house, poor materials and poor communication. The factor was named “quality and the CTA involvement”.

The second factor had three items. The eigenvalue was 2.166 and the factor accounted for 20.97% of the total variation. The items were on lack of clean water services, inadequate supply of bulk water and electricity and no access to piped (tap) water. The factor was named “available bulk infrastructures”.

The last factor had three items with an eigenvalue of 1.306 and accounting for 20.89% of the total variation. The items were on lack of employment, lack of training programmes and high crime rate. The factor was named “socio-economic opportunities”.

The three factors accounted for 70.99% of the total variation and thus the solution was robust. The reliability of the new factor loadings are shown in Table 1.6.

**Table 1.6: Reliability analysis of new factor loadings on challenges encountered**

FACTOR	NUMBER OF ITEMS	CRONBACH'S ALPHA
Factor 1	6	.964
Factor 2	3	.858
Factor 3	3	.981

Looking at Table 1.6, there is a good internal consistency in the items grouped in the new factors. It can be confirmed that the items are measuring the same factor (  $\alpha \geq 0.7$  ).

#### **5.5.4 Factor analysis on improvements and recommendations**

The principal component analysis with a Varimax rotation resulted in all items being included in the analysis. A KMO statistic of .812 was obtained indicating that the correlations were adequate for factor analysis since it is above the threshold value of .5. The Bartlett Test of Sphericity had a chi-square value of 3344.962 with a p-value of less than .001. It was highly significant which leads to the rejection of the null hypothesis of lack of sufficient correlation between variables. The factor extraction resulted in a one-factor solution with a total variance of 88.2% as shown in Table 1..

**Table 1.20: Reliability analysis of new factor loadings on challenges encountered**

ITEM	FACTOR 1
Q18r. To what extent can the following issues improve the implementation of this programme - Proper cross checking of suppliers of building materials?	.981
Q18j. To what extent can the following issues improve the implementation of this programme - Adequate size of PHP houses?	.980
Q18o. To what extent can the following issues improve the implementation of this programme - Clear reporting channels on people working on the project?	.980
Q18l. To what extent can the following issues improve the implementation of this programme - Proximity of houses to social services?	.973
Q18p. To what extent can the following issues improve the implementation of this programme - Good salary structure for beneficiaries working on the project?	.972
Q18h. To what extent can the following issues improve the implementation of this programme -- More monitoring and evaluation by CTA on condition of houses?	.970
Q18n. To what extent can the following issues improve the implementation of this programme - Proper storage of building materials to avoid theft?	.969
Q18k. To what extent can the following issues improve the implementation of this programme - Adequate spacing of PHP houses?	.965
Q18q. To what extent can the following issues improve the implementation of this programme - Provide more training to people working on the PHP housing?	.957
Q18f. To what extent can the following issues improve the implementation of this programme - Fair allocation systems of PHP houses?	.955
Q18g. To what extent can the following issues improve the implementation of this programme - Proper channels to identify beneficiaries?	.947
Q18c. To what extent can the following issues improve the implementation of this programme - Proper sewage system?	.942
Q18i. To what extent can the following issues improve the implementation of this programme - Clean water services?	.939
Q18b. To what extent can the following issues improve the implementation of this programme. Monthly meetings between CTA and PHP?	.907
Q18e. To what extent can the following issues improve the implementation of this programme - Improvements of roads?	.888
Q18m. To what extent can the following issues improve the implementation of this programme - Improvement of HIV/AIDs and other related diseases?	.860
Q18a. To what extent can the following issues improve the implementation of this programme - More interaction between community and CTA?	.858
Q18d. To what extent can the following issues improve the implementation of this programme - Adequate street lights?	.846
<b>Eigenvalues</b>	<b>16.016</b>
<b>Percentage variance explained</b>	<b>88.244</b>
<b>KMO measure of sampling adequacy</b>	<b>.812</b>
<b>Level of significance:</b>	<b>p&lt;.001</b>

The factors accounted for 88.2% of the total variance and have an eigenvalue of 16.016. As proposed by Pallant (2013:78), a robust solution accounted for at least

50% of the variance, thus in this case the solution was robust. Since there was only one factor, the factor was named “*improvements and recommendations*”. The reliability of the new factor loadings are shown in Table 1..

**Table 1.21: Reliability analysis of new factor loadings on improvements and recommendations**

FACTOR	NUMBER OF ITEMS	CRONBACH'S ALPHA
Factor 1	18	.992

Table 1. shows an excellent internal consistency in the items grouped in the new factors. It can be confirmed that are measuring the same construct (  $\alpha \geq 0.7$  ).

## 5.6 COMPARATIVE ANALYSIS USING INDEPENDENT T-TESTS TO DETERMINE MEAN DIFFERENCE ACROSS SOCIO-DEMOGRAPHIC VARIABLES

An independent t-test was performed to find out whether gender or participation of CTA had an impact on the constructs. All assumptions of the test were satisfied. The test was done at the 5% level of significance and the test was significant if the p-value was less than .05. The test was done on the following composite variables:

- quality and size of the house,
- maintenance and repair,
- transference of skills by CTAs to beneficiaries,
- house value and beneficiaries' interest,
- challenges encountered, and
- improvements and recommendations.

The hypothesis to be tested was

H<sub>0</sub>: The means are the same ( $\mu_1 = \mu_2$ )

H<sub>1</sub>: The means differ ( $\mu_1 \neq \mu_2$ )

A test was highly significant if the p-value was less than .001. The significance of the relationship was measured using the effect size. The independent t-tests are presented in the next sub-sections.

#### **5.6.1 Independent t-test to determine mean differences by gender**

Levene's test for equality of variance was used in tests for the assumption of equal variance across groups. The test showed that all p-values were greater than .05 and thus the variances were equal and the statistics under equal variance assumed were discussed. The independent t-test for equality of means resulted in all p-values being greater than .05 as shown in Table 1.7.

**Table 1.7: Independent t-tests to determine mean difference by gender**

GROUP STATISTICS					LEVENE'S TEST FOR EQUALITY OF VARIANCES		T-TEST FOR EQUALITY OF MEANS		
Indicator	Gender	N	Mean	Std deviation	F	Sig	Equal Variances	t-value	Sig (2 – tailed p-score)
Q10. Quality and size of houses	Male	52	3.081	.950	.347	.557	Assumed	.086	.931
	Female	43	3.064	.971			Not	.086	.932
Q11. Maintenance and repair	Male	51	4.222	.719	.131	.718	Assumed	.289	.773
	Female	43	4.181	.654			Not	.291	.771
Q13. Assistance or involvement of CTA	Male	50	2.769	.975	.012	.914	Assumed	-.332	.741
	Female	42	2.837	1.003			Not	-.331	.741
Q14. Type of knowledge, skills or training	Male	49	3.898	3.847	.515	.475	Assumed	.111	.912
	Female	41	3.805	4.063			Not	.111	.912
Q15. Form of skills transfer	Male	50	3.172	.867	.032	.859	Assumed	-.264	.792
	Female	42	3.220	.846			Not	-.265	.792
Q17. Challenges encountered	Male	48	4.177	.922	.006	.938	Assumed	-.221	.825
	Female	43	4.221	.951			Not	-.221	.826
Q18. Improvements and recommendations	Male	48	3.589	1.337	.023	.880	Assumed	-.365	.716
	Female	42	3.690	1.347			Not	-.365	.716

The results showed that there was no difference in mean scores on all the constructs. All the p-values were greater than .05. The constructs were interpreted in a similar way by both males and females and gender cannot be a determinant in distinguishing the issues.

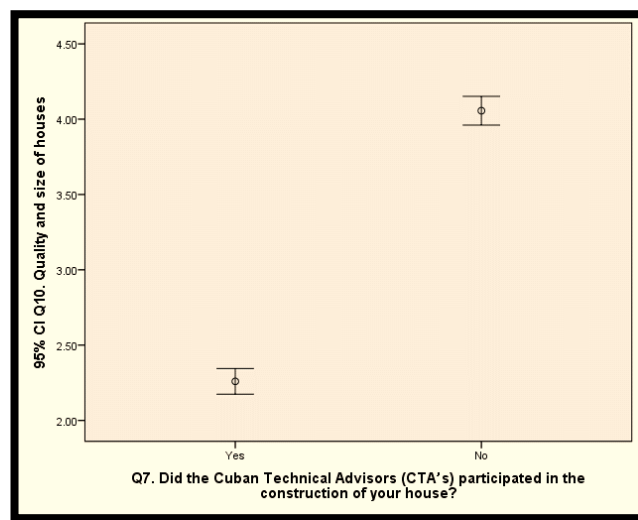
#### **5.6.2 Independent t-test to determine mean differences by participation of CTA**

The Levene's test of equality of variances was used in tests for the assumption of equal variance across groups. The test showed that all p-values were less than .05 except on the construct "*quality and size of house*". The independent t-test resulted in difference in means on all the constructs since all the p-values were less than .001 as shown in Table 1.8.

**Table 1.8: Independent t-tests to determine mean difference by participation of CTA**

GROUP STATISTICS					LEVENE'S TEST FOR EQUALITY OF VARIANCES		T-TEST FOR EQUALITY OF MEANS		
Indicator	Gender	N	Mean	Std deviation	F	Sig	Equal Variances	t-value	Sig (2 – tailed p-score)
Q10. Quality and size of houses	Yes	57	2.259	.321	.124	.726	Assumed	-28.122	.000
	No	43	4.056	.310			Not	-28.251	.000
Q11. Maintenance and repair	Yes	56	3.988	.791	70.069	.000	Assumed	-4.230	.000
	No	43	4.517	.238			Not	-4.726	.000
Q13. Assistance or involvement of CTA	Yes	56	2.207	.826	70.019	.000	Assumed	-11.429	.000
	No	41	3.693	.103			Not	-13.311	.000
Q14. Type of knowledge, skills or training	Yes	56	6.393	2.877	100.619	.000	Assumed	13.782	.000
	No	39	.026	.160			Not	16.523	.000
Q15. Form of skills transfer	Yes	56	2.615	.616	124.881	.000	Assumed	-14.376	.000
	No	41	4.000	.000			Not	-16.825	.000
Q16. House value and beneficiaries interest	Yes	55	5.273	1.146	6.288	.014	Assumed	-2.891	.005
	No	43	6.093	1.660			Not	-2.767	.007
Q17. Challenges encountered	Yes	56	3.560	.813	79.262	.000	Assumed	-10.745	.000
	No	40	4.968	.183			Not	-12.523	.000
Q18. Improvements and recommendations	Yes	55	2.550	.796	23.245	.000	Assumed	-17.297	.000
	No	40	4.934	.415			Not	-18.954	.000

All the constructs were interpreted differently by those who participated in the CTA and those who did not. Thus, participation of CTA is a determinant in distinguishing the issues. The construct on “*quality and size of houses*” had a p-value of less than .001 leading to the difference in means. The effect size was .89, which was of a large size as proposed by Cohen (1988). Thus 89% of the proportion of variance in quality and size of the house is explained by gender. The mean score for yes was 2.26 while for those who did not participate it was 4.06. Those who participated indicated that the size and quality of house were to a large extent while those who did not indicated that it was to a small extent. The confidence interval error bars are shown in Figure 1.8.

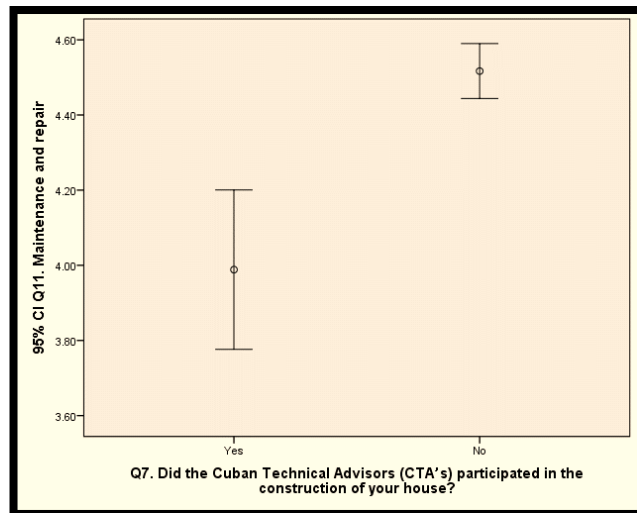


**Figure 1.8: Confidence interval error bars for quality and size of house regarding participation of the CTA**

The confidence interval error bars are not overlapping showing that there is a difference in means. Those who indicated that the CTA participated in the building of the houses agreed that the house was of good quality and size to a large extent. With regard to the houses which were constructed without the CTA, it was indicated that there was no quality since all the attributes of quality and size of house occurred to a small extent.

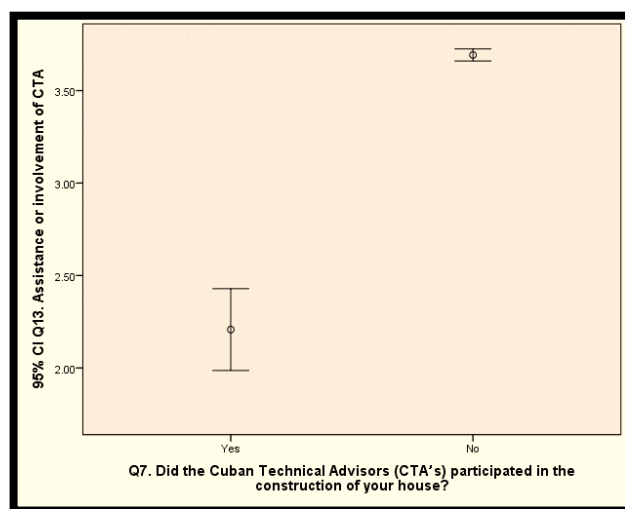
In terms of the construct, “*maintenance and repair*”, the p-value was less than, .01 which lead to the fact that the means were significantly different from each other. A large effect size of .19 was obtained indicating that the means were significantly different. The mean for those who said yes was 3.99 and 4.52 for those who said no. The confidence interval is shown in Figure 1.9.





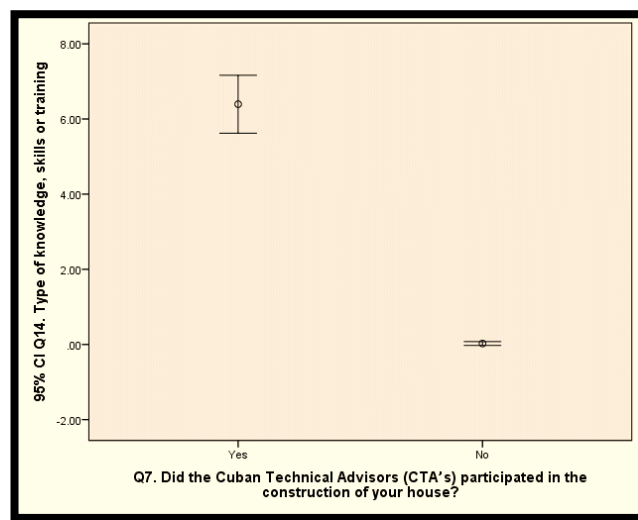
**Figure 1.9: Confidence interval error bars for maintenance and repair with regard to participation of the CTAs**

The errors bars were not overlapping indicating difference in means. All groups showed that the maintenance and repairs were not occurring on a regular basis. However, those with houses where the CTA was not involved indicated that maintenance and repairs occurred while those with houses where a CTA was not involved, indicated that it (maintenance and repairs) occurred only once a year. Assistance and involvement of the CTA resulted in a t-value of 13.311 with a highly significant p-value of less than .001. Thus the means were significantly different and the effect size was .65 which was of a large size as proposed by Cohen (1988:79). The mean score for those who said yes was 2.21 while those who said no was 3.69. The confidence interval error bars are shown in Figure 1.4



**Figure 1.4: Confidence interval error bars assistance or involvement of a CTA by participation of a CTA**

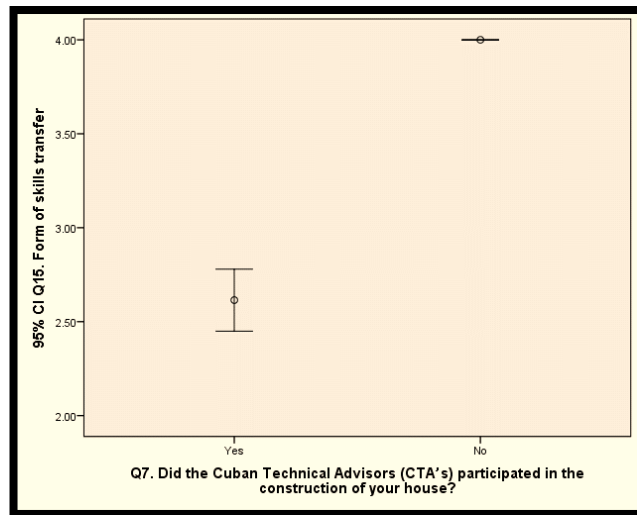
Those who said yes indicated that a CTA was involved to a large extent while those who said no indicated little involvement of a CTA. This shows that a CTA was involved in matters relating to houses and participating in their construction. The construct on “*type of knowledge, skills or training*” resulted in a t-value of 16.523 with a highly significant p-value of less than .01. Thus there was difference in means between the participants with houses where the CTA participated and those where the CTA was not involved. A large effect size of .75 was obtained indicating that the means were significantly different. The mean for those who said yes was 6.39 and those who said no were shown to be 0. The confidence interval error bars are shown in Figure 5.11.



**Figure 1.11: Confidence interval error bars for type of knowledge, skills or training by participation of CTA**

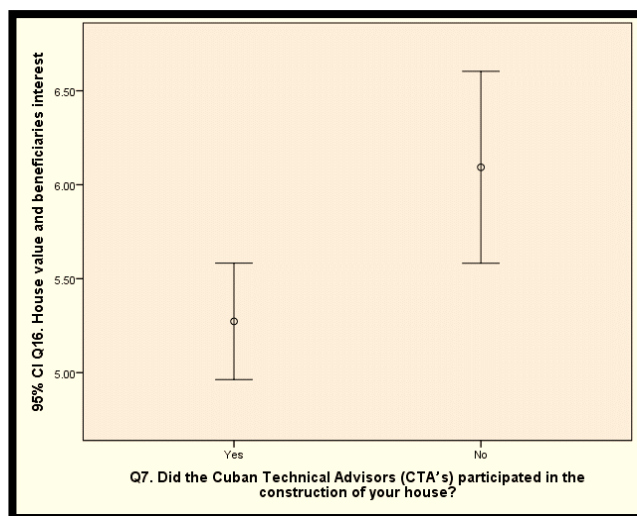
The errors bars were not overlapping supporting the differences in means. Those with house where a CTA participated indicated that they received knowledge and training on average on six out of the nine skills. However, those with houses where CTAs did not participate, did not receive any skills or knowledge from a CTA.

In terms of form of skills transfer, the t-value was 16.825 with a p-value of less than .001 leading to the conclusion that the means were different. The effect size was .75, which was of a large size as proposed by Cohen (1988). The mean score for those who said yes was 2.61 while for those who said no was 4.00. The confidence interval error bars are shown in Figure 1.5.



**Figure 1.5: Confidence interval error bars for form of skills transfer through participation of a CTA**

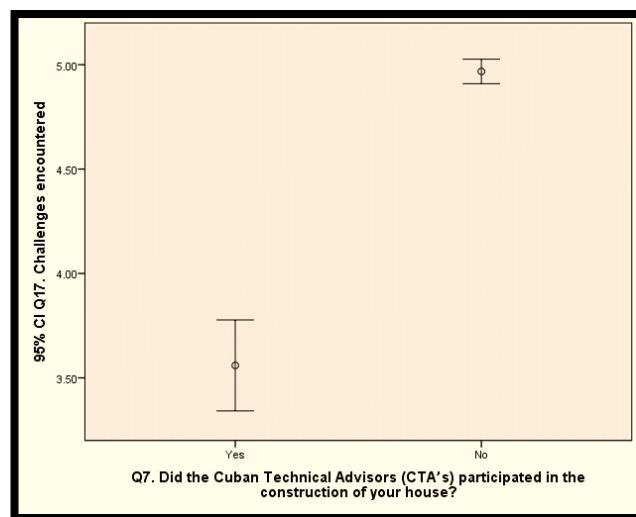
Those with houses where a CTA was involved underwent training through being coached while those without the CTA participation indicated that transfer of skills never occurred. The independent t-tests resulted in a t-value of 2.767 for the construct on *“house value and beneficiaries’ interest.”* A p-value of less than, 001 was obtained resulting in the conclusion that the means were significantly different from each other. A moderate effect size of 07 was obtained indicating that 7% of the proportion in variance of house value and beneficiaries’ interest is being accounted for by participation of a CTA. Those who said yes had a mean of 5.27 while those who said no had a mean of 6.09. The confidence interval error bars are shown in Figure 1.6.



**Figure 1.6: Confidence interval error bars for house values and beneficiaries’ interest through**

There was an overlap between the confidence intervals, supporting the differences in means. Those who indicated that a CTA was involved in the construction of their houses agreed to an average of 6 statements out of 8 regarding house value and beneficiaries' interest. Those with houses where a CTA was not involved agreed on five out of the eight questions.

In terms of challenges encountered, the t-value was 12.523 with a highly significant p-value of less than .001. A large effect size of .63 was obtained and thus 63% of the variation in challenges encountered is being explained by participation of a CTA in the construction of a house. The mean for those who said yes was 3.56 while the mean for those who said no was 4.97 and the confidence interval error bars are shown in Figure 1.7.

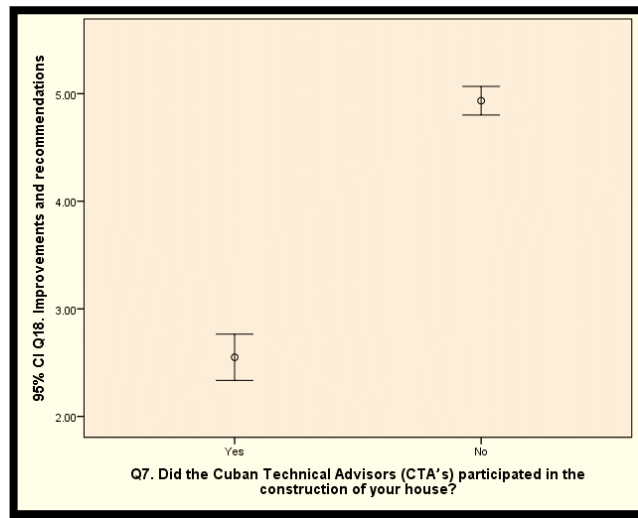


**Figure 1.7: Confidence interval error bars for challenges encountered by participation by a CTA**

The confidence interval error bars are not overlapping showing that there is a difference in means. Those who said no had a significantly higher mean than those who said yes. Both groups did not encounter any challenges, however, those with houses where a CTA was involved encountered challenges to a small extent.

The construct, "*improvements and recommendations*" had a t-value of 18.954 and a p-value of less than .001. Thus the means were significantly different from each

other. A large effect size of .79 was obtained indicating that the means were significantly different and thus 79% of the variation in improvements and recommendations is accounted for by participation of a CTA in the construction of the house. The means for those who said yes and no were 2.55 and 4.93 respectively. The confidence interval error bars are shown in Figure 1.8.



**Figure 1.8: Confidence interval error bars for improvements and recommendations by participation of CTA**

There is no overlap between the confidence intervals, supporting the differences in means. Those without CTA involvement indicated that there were no improvements like proper sewage system, adequate street lights, improvement of roads and so forth. Those with CTA involvement indicated that it occurred to some extent.

## **5.7 ONE-WAY ANALYSIS OF VARIANCE (ANOVA) TO DETERMINE MEAN DIFFERENCE ACROSS SOCIO-DEMOGRAPHIC VARIABLES**

The one-way Analysis of Variance (ANOVA) was conducted to explore the impact of age, marital status, highest educational level, employment status and size of the house on the constructs. The test was done at the 5% level of significance. As mentioned in the methodology chapter, if the variance across groups, was not equal then the Welch robust tests of equality of means was used to determine whether the means indeed differed and the Games-Howell test was used as a post-hoc test. The F-test was used in the case where the assumption was not

violated and the Tukey-B post hoc analysis was used to determine where the differences existed. A p-value of less than .05 would lead to the conclusion of differences in means and thus there was heterogeneity. A non-significant p-value meant that there was homogeneity in rating of the constructs among participants with regard to the socio-demographic variable. The tests are presented in the next sub-sections.

#### **5.7.1 ANOVA test to determine mean differences by age**

The data was divided into four age groups which were: less than 40 years, 40 – 49 years, 50 – 59 years and 60 years and above. The test of homogeneity of variances was not violated on all constructs as supported by p-values of more than .05. The ANOVA tests of equality of means results are presented in Table 1.9.

**Table 1.9: ANOVA tests to determine mean differences by age**

		SUM OF SQUARES	DF	MEAN SQUARE	F	SIG.	EFFECT SIZE, $\eta^2$
Q10. Quality and size of houses	Between Groups	2.665	3	.888	.971	.410	
	Within Groups	82.343	90	.915			
	<b>Total</b>	<b>85.008</b>	<b>93</b>				
Q11. Maintenance and repair	Between Groups	.436	3	.145	.309	.819	
	Within Groups	41.845	89	.470			
	<b>Total</b>	<b>42.281</b>	<b>92</b>				
Q13. Assistance or involvement of a CTA	Between Groups	2.658	3	.886	.915	.437	
	Within Groups	84.262	87	.969			
	<b>Total</b>	<b>86.920</b>	<b>90</b>				
Q14. Type of knowledge, skills or training	Between Groups	62.994	3	20.998	1.393	.251	
	Within Groups	1281.366	85	15.075			
	<b>Total</b>	<b>1344.360</b>	<b>88</b>				
Q15. Form of skills transfer	Between Groups	1.342	3	.447	.609	.611	
	Within Groups	63.924	87	.735			
	<b>Total</b>	<b>65.266</b>	<b>90</b>				
Q16. House value and beneficiaries interest	Between Groups	3.595	3	1.198	.532	.661	
	Within Groups	198.090	88	2.251			
	<b>Total</b>	<b>201.685</b>	<b>91</b>				
Q17. Challenges encountered	Between Groups	1.807	3	.602	.680	.567	
	Within Groups	76.170	86	.886			
	<b>Total</b>	<b>77.976</b>	<b>89</b>				
Q18. Improvements and recommendations	Between Groups	9.053	3	3.018	1.719	.169	
	Within Groups	149.195	85	1.755			
	<b>Total</b>	<b>158.249</b>	<b>88</b>				

There was no difference in mean scores by age group for all constructs. Thus the rating of these constructs was independent of age.

#### **5.7.2 ANOVA test to determine mean differences by marital status**

Marital status was divided into five groups, which were never married, married, divorced, separated and widowed. The constructs, “maintenance and repair” and “assistance or involvement of a CTA” had p-values of .013 and .002 respectively and thus the assumption of equality of variance was violated. In this case, the Welch robust tests for equality of means were used to test mean difference. Table 1. shows the equality of means results.



**Table 1.25: ANOVA tests to determine mean differences by marital status**

		SUM OF SQUARES	DF	MEAN SQUARE	F	SIG.	EFFECT SIZE, $\eta^2$
Q10. Quality and size of houses	Between Groups	1.841	4	.460	.494	.740	
	Within Groups	80.088	86	.931			
	<b>Total</b>	<b>81.929</b>	<b>90</b>				
Q11. Maintenance and repair	Between Groups	1.976	4	.494	1.077	.373	
	Within Groups	38.976	85	.459			
	<b>Total</b>	<b>40.952</b>	<b>89</b>				
Q13. Assistance or involvement of a CTA	Between Groups	4.789	4	1.197	1.295	.279	
	Within Groups	76.715	83	.924			
	<b>Total</b>	<b>81.504</b>	<b>87</b>				
Q14. Type of knowledge, skills or training	Between Groups	18.859	4	4.715	.297	.879	
	Within Groups	1283.944	81	15.851			
	<b>Total</b>	<b>1302.802</b>	<b>85</b>				
Q15. Form of skills transfer	Between Groups	1.290	4	.323	.429	.787	
	Within Groups	62.362	83	.751			
	<b>Total</b>	<b>63.652</b>	<b>87</b>				
Q16. House value and beneficiaries interest	Between Groups	7.316	4	1.829	.817	.518	
	Within Groups	188.122	84	2.240			
	<b>Total</b>	<b>195.438</b>	<b>88</b>				
Q17. Challenges encountered	Between Groups	.862	4	.215	.233	.919	
	Within Groups	75.840	82	.925			
	<b>Total</b>	<b>76.702</b>	<b>86</b>				
Q18. Improvements and recommendations	Between Groups	1.769	4	.442	.239	.916	
	Within Groups	150.063	81	1.853			
	<b>Total</b>	<b>151.832</b>	<b>85</b>				

There was no difference in mean scores in all the constructs. Marital status was not a determining factor and thus ratings of constructs were not dependent on marital status.

### **5.7.3 ANOVA test to determine mean differences by highest educational level**

The highest educational levels were divided into five groups which were: Standard 8/Grade 10 and below, Standard 9/Grade 11, Standard 10/Grade 12, certificate and diploma. The test for homogeneity of variance showed that all variance in scores is the same for each of the five groups for all constructs. Looking at Table 1.10, the F-tests showed that all p-values were greater than .05 indicating no difference in means across marital status groups.

**Table 1.10: ANOVA tests to determine mean differences by highest educational level**

		SUM OF SQUARES	DF	MEAN SQUARE	F	SIG.	EFFECT SIZE, $\eta^2$
Q10. Quality and size of houses	Between Groups	5.835	4	1.459	1.646	.170	
	Within Groups	79.749	90	.886			
	<b>Total</b>	<b>85.585</b>	<b>94</b>				
Q11. Maintenance and repair	Between Groups	.784	4	.196	.411	.800	
	Within Groups	42.415	89	.477			
	<b>Total</b>	<b>43.199</b>	<b>93</b>				
Q13. Assistance or involvement of a CTA	Between Groups	7.530	4	1.883	2.037	.096	
	Within Groups	80.401	87	.924			
	<b>Total</b>	<b>87.931</b>	<b>91</b>				
Q14. Type of knowledge, skills or training	Between Groups	71.314	4	17.828	1.166	.332	
	Within Groups	1299.808	85	15.292			
	<b>Total</b>	<b>1371.122</b>	<b>89</b>				
Q15. Form of skills transfer	Between Groups	3.273	4	.818	1.131	.347	
	Within Groups	62.947	87	.724			
	<b>Total</b>	<b>66.221</b>	<b>91</b>				
Q16. House value and beneficiaries' interest	Between Groups	10.693	4	2.673	1.229	.304	
	Within Groups	191.371	88	2.175			
	<b>Total</b>	<b>202.065</b>	<b>92</b>				
Q17. Challenges encountered	Between Groups	4.865	4	1.216	1.430	.231	
	Within Groups	73.137	86	.850			
	<b>Total</b>	<b>78.002</b>	<b>90</b>				
Q18. Improvements and recommendations	Between Groups	7.770	4	1.942	1.095	.364	
	Within Groups	150.815	85	1.774			
	<b>Total</b>	<b>158.585</b>	<b>89</b>			.170	

There was no statistical difference in mean scores between educational levels for all the constructs. The rating of the constructs was not dependent on educational level.

#### **5.7.4 ANOVA test to determine mean differences by employment status**

Employment status had five groups which were permanently employed, temporarily employed, self-employed, informal jobs/selling and unemployed. The Levene's test of equality of variance across groups resulted in all constructs having p-values less than .05 thus the assumption of equal variances was violated. The ANOVA results in Table 1. resulted in differences in mean scores in all the constructs except "house value and beneficiary interest". However, since variances were not equal, the Welch Robust tests of equality of means were done to determine mean difference.

**Table 1.27: ANOVA tests to determine mean differences by employment of status**

		SUM OF SQUARE S	D F	MEAN SQUARE	F	SIG .	EFFEC T SIZE, $\eta^2$
Q10. Quality and size of houses	Between Groups	15.302	4	3.826	4.936	.001	
	Within Groups	73.629	95	.775			
	<b>Total</b>	<b>88.931</b>	<b>99</b>				
Q11. Maintenance and repair	Between Groups	13.271	4	3.318	10.277	.000	
	Within Groups	30.347	94	.323			
	<b>Total</b>	<b>43.618</b>	<b>98</b>				
Q13. Assistance or involvement of a CTA	Between Groups	25.562	4	6.390	9.095	.000	
	Within Groups	64.644	92	.703			
	<b>Total</b>	<b>90.206</b>	<b>96</b>				
Q14. Type of knowledge, skills or training	Between Groups	401.090	4	100.273	9.141	.000	
	Within Groups	987.268	90	10.970			
	<b>Total</b>	<b>1388.358</b>	<b>94</b>				
Q15. Form of skills transfer	Between Groups	15.416	4	3.854	6.969	.000	
	Within Groups	50.882	92	.553			
	<b>Total</b>	<b>66.298</b>	<b>96</b>				
Q16. House value and beneficiaries interest	Between Groups	12.640	4	3.160	1.546	.195	
	Within Groups	190.135	93	2.044			
	<b>Total</b>	<b>202.776</b>	<b>97</b>				
Q17. Challenges encountered	Between Groups	13.749	4	3.437	4.455	.002	
	Within Groups	70.208	91	.772			
	<b>Total</b>	<b>83.956</b>	<b>95</b>				
Q18. Improvements and recommendations	Between Groups	30.879	4	7.720	4.903	.001	
	Within Groups	141.719	90	1.575			
	<b>Total</b>	<b>172.599</b>	<b>94</b>				

There were no differences in mean scores by age group for house value and beneficiaries' interest since the p-value was greater than .05. The rating of the constructs, quality and size of the house, maintenance and repair, transference of skills by CTAs to beneficiaries, challenges encountered, and improvements and recommendations were affected by employment status. The Welch tests could not be performed for the constructs "type of knowledge, skills or training" and "forms of skills transfer" because one of the groups had zero variances. Table 1.28 shows the Welch robust tests of equality of means which confirms the results of the F-tests that there was a difference in mean scores according to educational level on the constructs.

**Table 1.28: Robust tests of equality of means by employment status**

		STATISTIC <sup>A</sup>	DF1	DF2	SIG.
Q10. Quality and size of houses	Welch	5.815	4	30.052	.001
	Brown-Forsythe	5.363	4	66.636	.001
Q11. Maintenance and repair	Welch	8.450	4	34.776	.000
	Brown-Forsythe	13.476	4	70.930	.000
Q13. Assistance or involvement of CTA	Welch	7.733	4	25.532	.000
	Brown-Forsythe	9.367	4	49.168	.000
Q17. Challenges encountered	Welch	8.817	4	28.406	.000
	Brown-Forsythe	5.458	4	54.572	.001
Q18. Improvements and recommendations	Welch	6.557	4	26.074	.001
	Brown-Forsythe	5.390	4	53.728	.001

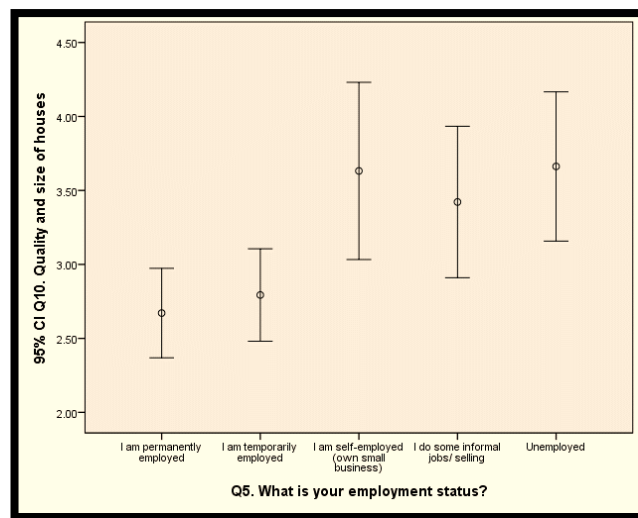
The results of the ANOVA tests are in agreement with the Welch test and it can be concluded that the views on quality and size of the house, maintenance and repair, transference of skills by CTAs to beneficiaries, challenges encountered, and improvements and recommendations were affected by employment status.

The construct quality and size of house resulted in the Welch robust tests having a p-value of .001 which is highly significant and thus there was a statistically significant difference in quality and size of the house between the groups. A large effect size of .17 was obtained and thus 17% of the variance in the quality and size of house scores was predictable from employment status. The Games Howell post-hoc test was used to determine which groups are different. The test resulted in two homogeneous groups as shown in Table 1.29.

**Table 1.29: Games-Howell homogeneous group for quality and size of houses by employment status**

Q5. WHAT IS YOUR EMPLOYMENT STATUS?	N	SUBSET FOR ALPHA = 0.05	
		1	2
I am permanently employed	28	2.6712	
I am temporarily. employed	35	2.7931	2.7931
I do some informal jobs/ selling	19	3.4217	3.4217
I am self-employed (own small business)	10		3.6318
Unemployed	8		3.6622

The Games-Howell post-hoc comparisons indicated that the mean score for those permanently employed ( $M = 2.67$ ,  $SD = .78$ ) was significantly different from those self-employed ( $M = 3.63$ ,  $SD = .84$ ) and unemployed ( $M = 3.66$ ,  $SD = .60$ ). There was no statistically significant difference between those temporarily employed and those in informal jobs/selling with all the other groups. In addition, there was no statistical difference between those self-employed and those unemployed. The confidence interval error bars are shown in Figure 1.17.



**Figure 1.17: Confidence interval error bars for quality and size of house by employment status**

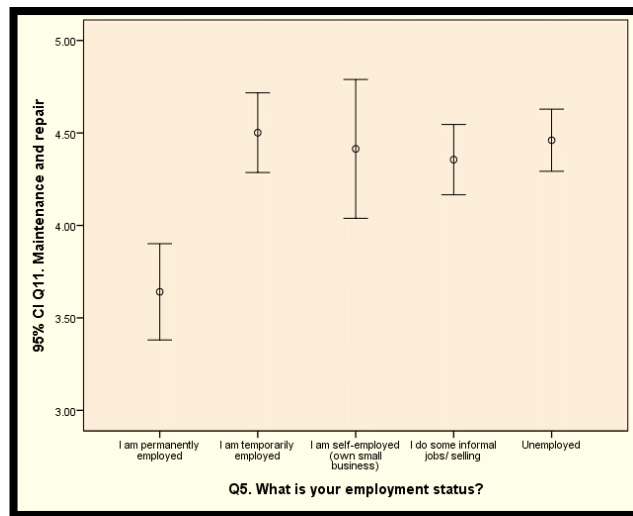
Those self-employed and unemployed were dissatisfied with the quality and size of the house. Those permanently employed were satisfied to some extent.

The ANOVA tests for maintenance and repair resulted in a highly significant Welsh test with a p-value less than .001. The means were significantly different from each other. A large effect size of .30 was obtained and thus 30% of the variance in maintenance and repair was explained by employment status. The Games-Howell post-hoc analysis resulted in two homogeneous groups as shown in Table 1..

**Table 1.30: Games-Howell homogeneous group for maintenance and repair by employment status**

Q5. WHAT IS YOUR EMPLOYMENT STATUS?	N	SUBSET FOR ALPHA = 0.05	
		1	2
I am permanently employed	28	3.6409	
I do some informal jobs/ selling	19		4.3555
I am self-employed (own small business)	10		4.4139
Unemployed	8		4.4605
I am temporarily employed	34		4.5015

The post-hoc comparisons indicated that the mean score for those permanently employed ( $M= 3.64$ ,  $SD= .67$ ) was significantly different from those doing informal jobs/selling ( $M= 4.36$ ,  $SD= .39$ ), self-employed ( $M= 4.41$ ,  $SD= .52$ ), unemployed ( $M= 4.46$ ,  $SD= .20$ ), and temporarily employed ( $M= 4.50$ ,  $SD= .62$ ). Thus those permanently employed were statistically significantly different from all the other groups. This is supported by the confidence interval error bars in Figure 1.9 where there is no overlap between those permanently employed and the other groups.



**Figure 1.98: Confidence interval error bars for maintenance and repair in terms of employment status**

Those temporarily employed indicated that the maintenance and repairs never occurred while the other groups indicated that it occurred once a year. Maintenance and repairs seem not to be occurring frequently, that is, this seems to be occurring on a yearly basis or not occurring at all. The construct on assistance or involvement resulted in a p-value of less than .001 leading to the conclusion that there were mean differences across the categories of employment status. A large effect size of .29 was obtained and 29% of the variability in

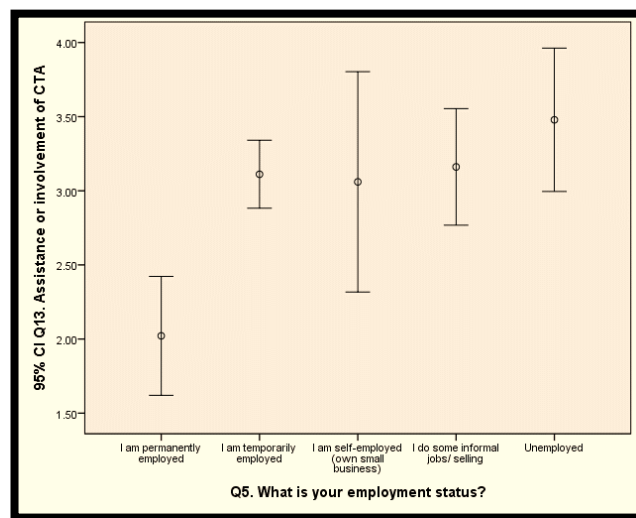


assistance or involvement was accounted for by the change in employment status. The Games-Howell post-hoc analysis test resulted in two homogeneous groups as shown in Table 1.1119.

**Table 1.11 Games-Howell homogeneous group for assistance or involvement of CTA by employment status**

Q5. WHAT IS YOUR EMPLOYMENT STATUS?	N	SUBSET FOR ALPHA = 0.05	
		1	2
I am permanently employed	27	2.0214	
I am self-employed (own small business)	10	3.0600	3.0600
I am temporarily employed	35		3.1115
I do some informal jobs/ selling	19		3.1611
Unemployed	6		3.4786

Those permanently employed ( $M= 2.02, SD= 1.01$ ) were significantly different from those temporarily employed ( $M= 3.12, SD= .67$ ), doing informal jobs/selling ( $M= 3.16, SD= .82$ ), and those unemployed ( $M= 3.48, SD= .46$ ). Those self-employed are not statistically significantly different from the other groups. Those temporarily employed, doing informal jobs/selling, unemployed and self-employed are not significantly different from each other. The confidence interval error bars are shown in Figure 1.1910.



**Figure 1.1910: Confidence interval error bars for assistance or involvement in terms of employment status**

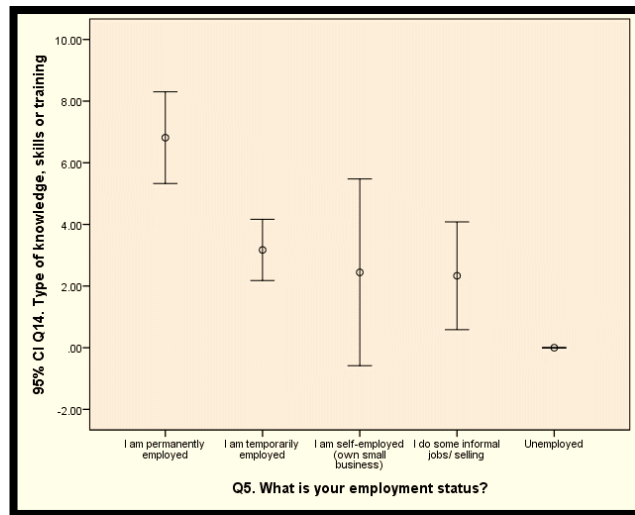
Those permanently employed indicated that assistance or involvement of a CTA occurred to a large extent while the other groups indicated that it occurred to some extent.

The test of equality of means for knowledge, skills or training resulted in a p-value less than .001. The ratings for knowledge, skills or training differed by employment status. A large effect size of .23 was obtained and 23% of the variability in knowledge, skills or training is explained by employment status. The Games-Howell had three homogeneous groups which are shown in Table 1..

**Table 1.32: Games-Howell homogeneous group for type of knowledge, skills or training by employment status**

Q5. WHAT IS YOUR EMPLOYMENT STATUS?	N	SUBSET FOR ALPHA = 0. 05		
		1	2	3
Unemployed	6	.0000		
I do some informal jobs/ selling	18	2.3333	2.3333	
I am self-employed (own small business)	9	2.4444	2.4444	
I am temporarily employed	35		3.1714	
I am permanently employed	27			6.8148

The Games-Howell post-hoc comparisons indicated that the mean score for those unemployed ( $M = .00$ ,  $SD = .00$ ) was significantly different from those temporarily employed ( $M = 3.17$ ,  $SD = 2.90$ ) and those permanently employed ( $M = 6.81$ ,  $SD = 3.76$ ). There was no statistically significant difference between those unemployed, doing informal jobs/selling and those self-employed. Those doing informal jobs/selling ( $M = 2.33$ ,  $SD = 3.51$ ) were significantly different from those permanently employed ( $M = 6.80$ ,  $SD = 3.76$ ). Those permanently employed were significantly different from the other groups. The confidence intervals are shown in Figure 1.11.



**Figure 1.11: Confidence interval error bars for type of knowledge, skills or training in terms of employment status**

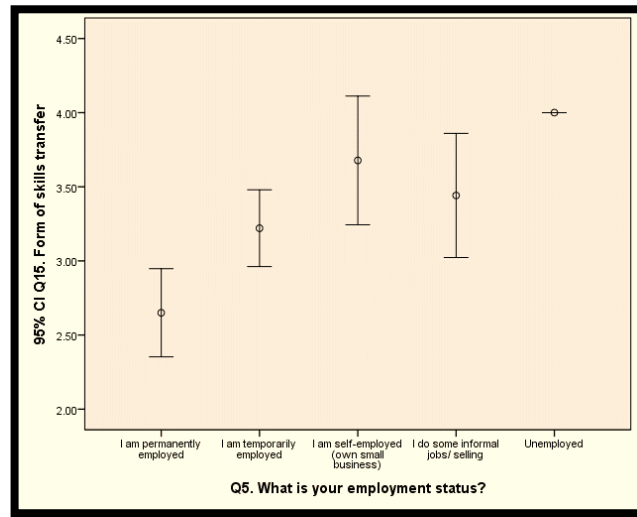
Looking at the error bars in Figure 1.11, those permanently employed received six out of the nine skills from a CTA. Those unemployed did not receive any skills. In terms of the construct, skills transfer the test had a p-value of less than .001. Thus there was difference in mean scores due to employment status, means scores differed by age. The effect size was .23 and it is large. Thus 23% of the variability in skills transfer was accounted for by the change in employment status. The Games-Howell post-hoc analysis test resulted in three homogeneous groups as shown in Table 5.33.

**Table 1.12: Games-Howell homogeneous group for form of skills transfer by employment status**

Q5. WHAT IS YOUR EMPLOYMENT STATUS?	N	SUBSET FOR ALPHA = 0. 05		
		1	2	3
I am permanently employed	27	2.6499		
I am temporarily employed	35		3.2204	
I do some informal jobs/ selling	19		3.4415	3.4415
I am self-employed (own small business)	10		3.6778	3.6778
Unemployed	6			4.0000

The Games-Howell post-hoc comparisons indicated that the mean score for those permanently employed ( $M= 2.65, SD= .75$ ) was significantly different from all the other groups. Those temporarily employed ( $M= 3.22, SD= .75$ ) were significantly different from those unemployed ( $M= 4.00, SD= .00$ ). There was no statistically significant difference between those temporarily employed, those in informal

jobs/selling and those in self-employment. In addition, there was no statistical difference between those self-employed and those unemployed. The confidence interval error bars are shown in Figure 1.12.



**Figure 1.12: Confidence interval error bars for forms of skills transfer in terms of employment status**

Those self-employed and unemployed never received any training, coaching or mentoring while those permanently employed were coached.

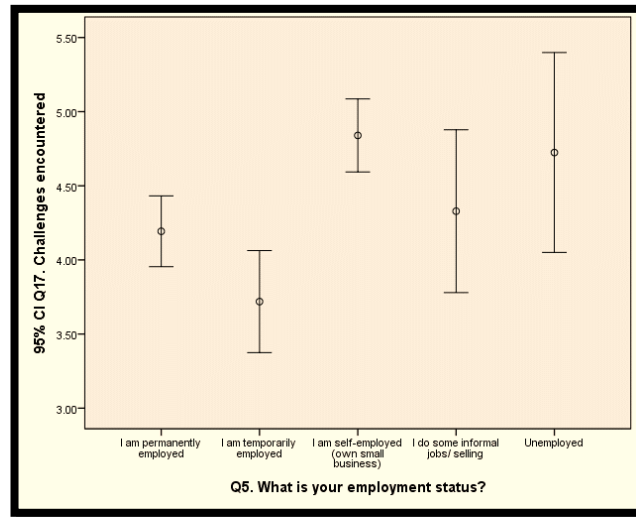
The ANOVA test for challenges encountered resulted in a Welch test with a p-value of less than .001. Thus the ratings differed by employment status. A large effect size of .16 was obtained and 16% of the variability in challenges encountered was explained by employment status. The Games Howell test resulted in two homogeneous groups as shown in Table 1..

**Table 1.34: Games-Howell homogeneous group for challenges encountered by employment status**

Q5. WHAT IS YOUR EMPLOYMENT STATUS?	N	SUBSET FOR ALPHA = 0.05	
		1	2
I am temporarily. employed	35	3. 7189	
I am permanently employed	26	4. 1929	
I do some informal jobs/ selling	19	4. 3285	4. 3285
Unemployed	7	4. 7245	4. 7245
I am self-employed (own small business)	9		4. 8397

The groups unemployed and doing some informal jobs / selling were not significantly different from the other groups since they belonged to both groups. Those temporarily employed and permanently employed were not statistically

significantly different from each other. Temporarily employed ( $M= 3.72, SD= 1.00$ ) and permanently employed ( $M= 4.19, SD= .59$ ) were significantly different from those self-employed ( $M= 4.84, SD= .32$ ) and this is supported by the non-overlapping of the error bars in Figure 1.13.



**Figure 1.13: Confidence interval error bars for challenges encountered in terms of employment status**

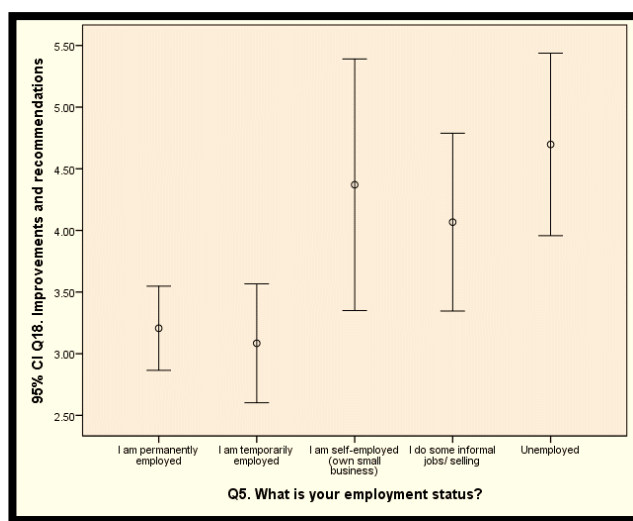
Those who are older tend to agree more on issues of behavioural intentions than those who are younger. Those self-employed and unemployed did not encountering any challenges. One of the reasons might be that the majority of them might not be involved with a CTA and hence did not meet challenges related to involvement with a CTA.

The construct on improvements and recommendations resulted in the Welch test having a p-value less than .01. Thus, the views of participants were different on improvements and recommendations due to employment status. There was a large effect size of .18 and thus 18% of the variability in improvements and recommendations is accounted for by employment status. Since the variances were not equal, the Games Howell post-hoc test resulted in two homogeneous groups as shown in Table 5.35.

**Table 1.13: Games-Howell homogeneous group for improvements and recommendations by employment status**

Q5. WHAT IS YOUR EMPLOYMENT STATUS?	N	SUBSET FOR ALPHA = 0. 05	
		1	2
I am temporarily employed	35	3.0847	
I am permanently employed	25	3.2065	
I do some informal jobs/ selling	19	4.0673	4.0673
I am self-employed (own small business)	9	4.3702	4.3702
Unemployed	7		4.6975

The Games-Howell post-hoc comparisons indicated that the mean score for those temporarily employed ( $M= 3.08, SD= 1.40$ ) and those permanently employed ( $M= 3.21, SD= .83$ ) was significantly different from those unemployed ( $M= 4.70, SD= .80$ ). There was no statistically significant difference between those temporarily employed with those permanently employed, those in informal jobs/selling and those self-employed. Those in informal jobs and those self-employed belonged to both groups which means they were not significantly different from any other group. The confidence interval error bars are depicted in Figure 1.14.



**Figure 1.14: Confidence interval error bars for improvements and recommendations in terms of employment status**

Those unemployed indicated that there were no improvements or recommendations. Those permanently or temporarily employed indicated that they were there to some extent.

#### **5.7.5 ANOVA test to determine mean differences by size of house**

Size of the house was divided into four categories, which were 40m<sup>2</sup>, 41m<sup>2</sup>, 42m<sup>2</sup> and 50m<sup>2</sup>. The Levene statistics for testing homogeneity of variance had p-values less than .05 on all constructs and thus the assumption of equality of variance was violated. In this case the Welch robust test for equality of variance was used. Table 1. indicates that the F-tests resulted in all constructs having means that were different except the construct house value and beneficiaries' interest.

**Table 1.36: ANOVA tests to determine mean differences by size of house**

		SUM OF SQUARES	DF	MEAN SQUARE	F	SIG.	EFFECT SIZE, $\eta^2$
Q10. Quality and size of houses	Between Groups	56.155	3	18.718	56.021	.000	
	Within Groups	31.742	95	.334			
	<b>Total</b>	<b>87.898</b>	<b>98</b>				
Q11. Maintenance and repairs	Between Groups	10.631	3	3.544	10.102	.000	
	Within Groups	32.974	94	.351			
	<b>Total</b>	<b>43.605</b>	<b>97</b>				
Q13. Assistance or involvement of a CTA	Between Groups	42.916	3	14.305	28.833	.000	
	Within Groups	45.645	92	.496			
	<b>Total</b>	<b>88.561</b>	<b>95</b>				
Q14. Type of knowledge, skills or training	Between Groups	718.220	3	239.407	32.510	.000	
	Within Groups	670.138	91	7.364			
	<b>Total</b>	<b>1388.358</b>	<b>94</b>				
Q15. Form of skills transfer	Between Groups	31.530	3	10.510	28.337	.000	
	Within Groups	34.122	92	.371			
	<b>Total</b>	<b>65.652</b>	<b>95</b>				
Q16. House value and beneficiaries' interest	Between Groups	7.153	3	2.384	1.167	.327	
	Within Groups	189.960	93	2.043			
	<b>Total</b>	<b>197.113</b>	<b>96</b>				
Q17. Challenges encountered	Between Groups	24.817	3	8.272	12.890	.000	
	Within Groups	58.403	91	.642			
	<b>Total</b>	<b>83.220</b>	<b>94</b>				
Q18. Improvements and recommendations	Between Groups	97.669	3	32.556	40.239	.000	
	Within Groups	72.816	90	.809			
	<b>Total</b>	<b>170.485</b>	<b>93</b>				



There was no difference in mean scores for house value and beneficiaries' interest by employment status since the p-value was .327. It can be concluded that the rating for house value and beneficiaries interest was independent of size of the house. However, the rating of the constructs; quality and size of house, maintenance and repair, assistance or involvement of a CTA, type of knowledge, skills or training, form of skills transfer, challenges encountered and improvements and recommendations were affected by size of the house. Since the assumption of equality of variance was rejected, the Welch robust test of equality of means was used to determine whether the means were different. For the constructs without groups with zero variances, Table 1.37 confirmed that there was difference in mean scores according to employments status.

**Table 1.37: Robust tests of equality of means by size of house**

		STATISTIC <sup>A</sup>	DF1	DF2	SIG.
Q10. Quality and size of houses	Welch	160.015	3	23.708	.000
	Brown-Forsythe	39.734	3	23.519	.000
Q11. Maintenance and repairs	Welch	10.107	3	29.886	.000
	Brown-Forsythe	21.150	3	79.244	.000
Q13. Assistance or involvement of CTA	Welch	47.528	3	34.724	.000
	Brown-Forsythe	47.366	3	45.688	.000

The results of the ANOVA tests were in agreement with the Welch test and it can be concluded that the views on quality and size of the house, maintenance and repairs and assistance or involvement of CTA were different due to size of house. The variables type of knowledge, skills or training, form of skills transfer, challenges encountered, and improvements and recommendations were affected by employment status had groups with variances of zero and thus the Welch test was not calculated, however the F-tests showed that there were significant differences.

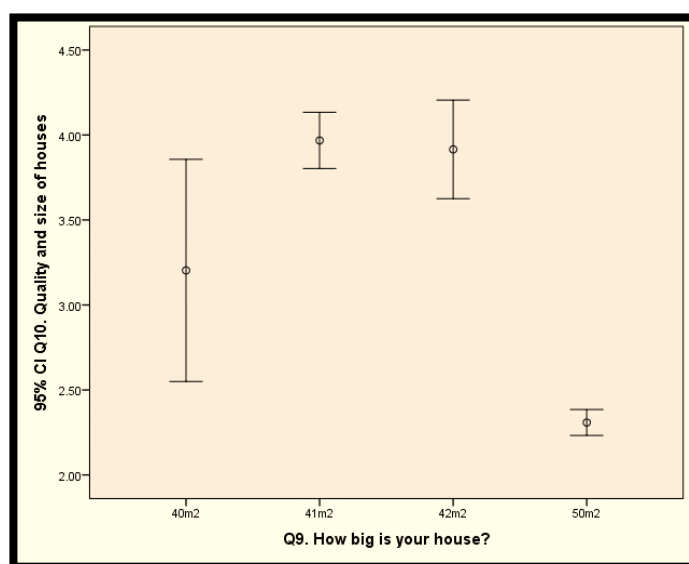
Since the variance for quality and size of house were not the same across groups, the Welch robust test was used and it resulted in a p-value of less than .001. Thus, the ratings of participants were different. A very large effect size .64 was obtained and thus 64% of the variability in quality and size of house is explained by size of

house. The Games Howell post-hoc test resulted in two homogeneous groups as shown in Table 5.38.

**Table 1.14: Games-Howell homogeneous group for quality and size of houses by size of house**

Q9. HOW BIG IS YOUR HOUSE?	N	SUBSET FOR ALPHA =0.05	
		1	2
50m2	50	2.3083	
40m2	12		3.2033
42m2	29		3.9151
41m2	8		3.9681

The Games-Howell post-hoc comparisons indicated that the mean score for the size 50m<sup>2</sup> ( $M= 3.20, SD= 1.02$ ) was significantly different from the other groups. This is supported by the non-overlapping of the confidence interval error bars in Figure 1.15.



**Figure 1.15: Confidence interval error bars for quality and size of house In terms of size of house**

Those with house size of 50m<sup>2</sup> were satisfied with the quality and size of house while those with 41m<sup>2</sup> and 42m<sup>2</sup> were dissatisfied.

The construct maintenance and repairs resulted in the Welch robust test for equality of means having a p-value less than .001 indicating mean difference. A large effect size of .24 was obtained. Thus 24% of the variance in maintenance and repair is being explained by size of the house. Since the variances were

unequal, the Games-Howell post-hoc test was used to determine the mean differences and this resulted in two homogeneous groups as shown in Table 1.15.

**Table 1.15: Games-Howell homogeneous group for maintenance and repair by size of house**

Q9. HOW BIG IS YOUR HOUSE?	N	SUBSET FOR ALPHA = 0.05	
		1	2
50m2	49	3.8879	
40m2	12		4.5035
41m2	8		4.5462
42m2	29		4.5630

The post-hoc comparisons indicated that the mean score for the size 50m<sup>2</sup> ( $M= 3.89, SD= .78$ ) was significantly different from the other groups. The confidence interval error bars are shown in Figure 1.16.



**Figure 1.16: Confidence interval error bars for maintenance and repair In terms of size of house**

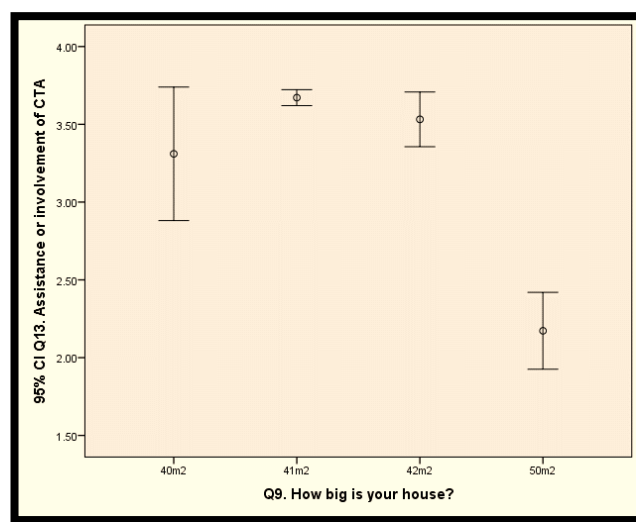
Those who have 50m<sup>2</sup> houses indicated that maintenance occurs on a yearly basis and those with 40m<sup>2</sup>, 41m<sup>2</sup> and 42m<sup>2</sup> indicated that they never have maintenance or repairs.

In terms of assistance or involvement of CTA, the Welch test resulted in a p-value less than .001 resulting in the means being significantly different from each other. A large effect size of 48 was obtained and about 48% of the variability in assistance or involvement of CTA is being accounted for by size of house. The Games-Howell test resulted in two homogeneous groups as shown in Table 1.16

**Table 1.16: Games-Howell homogeneous group for assistance or involvement of CTA by size of house**

Q9. HOW BIG IS YOUR HOUSE?	N	SUBSET FOR ALPHA =0.05	
		1	2
50m2	49	2.1724	
40m2	12		3.3103
42m2	27		3.5318
41m2	8		3.6714

The post-hoc comparisons indicated that the mean score for the size 50m<sup>2</sup> ( $M=2.17, SD=.86$ ) was significantly different from the other groups. The confidence interval error bars are shown in Figure 1.17.



**Figure 1.17: Confidence interval error bars for assistance or involvement of a CTA in terms of size of house**

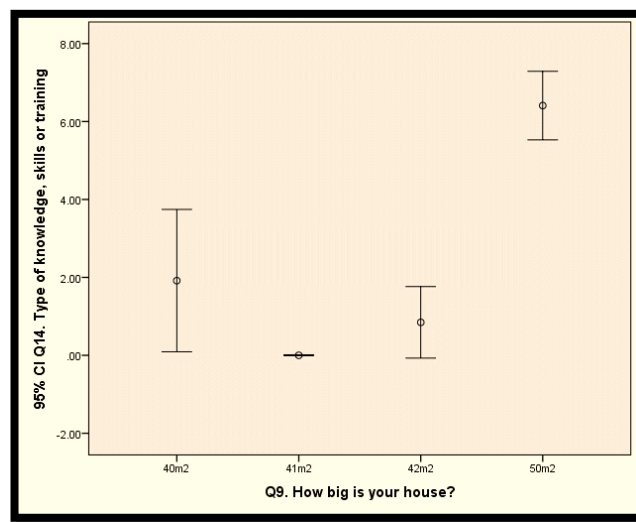
Those who have 50m<sup>2</sup> houses had a mean close to two indicating that transference of skills by CTA's to beneficiaries occurred to a large extent while those with 41m<sup>2</sup> and 42m<sup>2</sup> indicated that they occurred to some extent.

In terms of the construct type of knowledge, skills or training resulted in highly significant test with a p-value of less than .001. A large effect size of .52 was obtained and 52% of the variance in type of knowledge, skills or training was being attributed by size of house. Two homogeneous groups were obtained as shown in Table 1.17.

**Table 1.171: Games-Howell homogeneous group for type of knowledge, skills or training by size of house**

Q9. HOW BIG IS YOUR HOUSE?	N	SUBSET FOR ALPHA = 0.05	
		1	2
41m2	8	.0000	
42m2	26	.8462	
40m2	12	1.9167	
50m2	49		6.4082

The post-hoc comparisons indicated that the mean score for the size 50m<sup>2</sup> ( $M= 6.41, SD= 3.06$ ) was significantly different from the other groups. The confidence interval error bars are shown in Figure 1.18.



**Figure 1.18: Confidence interval error bars for type of knowledge, skills or training in terms of size of house**

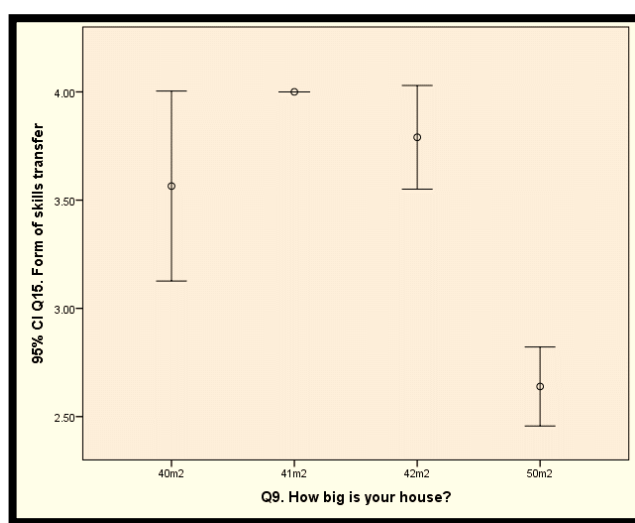
Those who have 50m<sup>2</sup> houses indicated that the participants received close to six out of nine skills from a CTA but those with 41m<sup>2</sup> did not receive any training.

The test of equality of means was significant on the construct on form of skills transfer since the test gave a p-value of less than .001. The mean scores were significantly different from each other. The effect size was .48, and 48% of the variance in forms of skills transfer was accounted for by size of house. Two homogeneous groups were obtained as shown in Table 1.:

**Table 1.42: Games-Howell homogeneous group for form of skills transfer by size of houses**

Q9. HOW BIG IS YOUR HOUSE?	N	SUBSET FOR ALPHA = 0.05	
		1	2
50m2	49	2.6391	
40m2	12		3.5648
42m2	27		3.7901
41m2	8		4.0000

The Games-Howell post-hoc comparisons indicated that the mean score for those with 50m<sup>2</sup> house ( $M=2.64$ ,  $SD=.64$ ) was significantly different from all the other groups. The confidence interval error bars are presented in Figure 1.19.



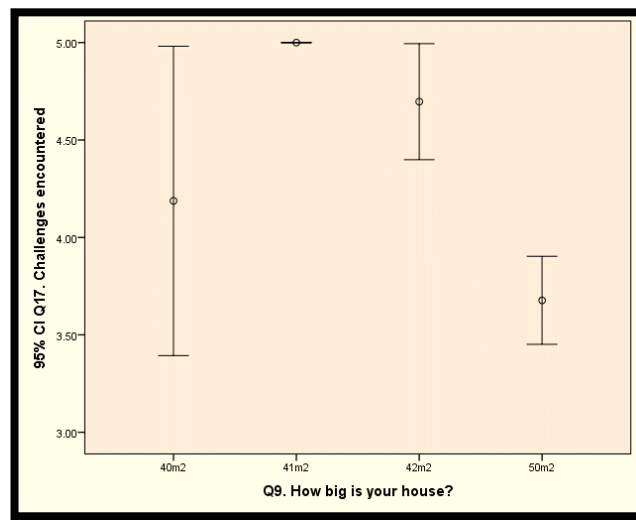
**Figure 1.19: Confidence interval error bars for forms of skill transfer in terms of size of house**

Those who have 40m<sup>2</sup>, 41m<sup>2</sup> and 42m<sup>2</sup> had a mean close to four indicating that the skills transfer never occurred. The test of equality of means for challenges encountered resulted in a p- value less than, 001. A large effect size of 30 was obtained and about 30% of the variance in challenges encountered was explained by size of the house. The Games-Howell post-hoc analysis resulted in two homogeneous groups as shown in Table 1.18.

**Table 1.18: Games-Howell homogeneous group for challenges encountered by size of house**

Q9. HOW BIG IS YOUR HOUSE?	N	SUBSET FOR ALPHA = 0.05	
		1	2
50m2	49	3. 6770	
40m2	11	4. 1875	4. 1875
42m2	27		4. 6968
41m2	8		5. 0000

The Games-Howell post-hoc comparisons indicated that the mean score for those with 50m<sup>2</sup> ( $M= 3.68, SD= .79$ ) was significantly different from those with 42m<sup>2</sup> ( $M= 4.70, SD= .75$ ) and those with 41m<sup>2</sup> ( $M= 5.00, SD= .00$ ). Those with 40m<sup>2</sup> were not statistically significantly different from any other group. The 41m<sup>2</sup> were not significantly different from the 42m<sup>2</sup> and 40m<sup>2</sup>. The confidence interval error bars are shown in Figure 1.20.



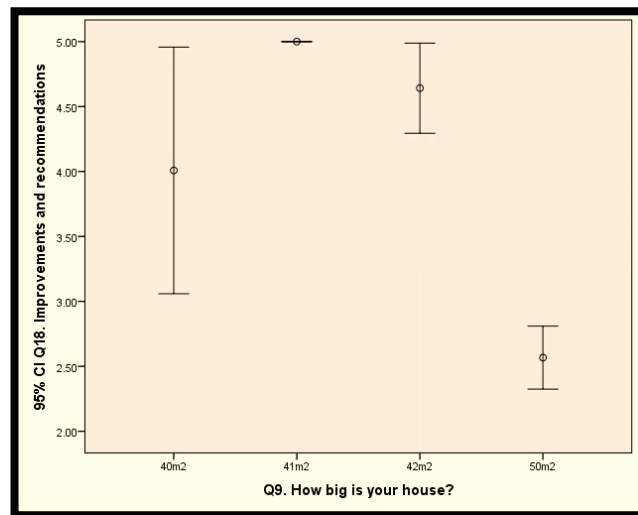
**Figure 1.20: Confidence interval error bars for challenges encountered in terms of size of house**

Those who have 41m<sup>2</sup> and 42m<sup>2</sup> houses had a mean close to five indicating that the challenges did not occur to any extent. In terms of improvements and recommendations, the Welch tests resulted in a p-value of less than .001 leading to the means being significantly different. A large effect size of .57 was obtained and 57% of the variance in improvements and recommendations was attributed to the size of the house. The Games-Howell test resulted in two homogeneous groups as shown in Table 5.44.

**Table 1.19: Games-Howell homogeneous group for improvements and recommendations by size of house**

Q9. HOW BIG IS YOUR HOUSE?	N	SUBSET FOR ALPHA = 0. 05	
		1	2
50m2	48	2.5669	
40m2	11		4.0080
42m2	27		4.6415
41m2	8		5.0000

The Games-Howell post-hoc comparisons indicated that the mean score for the size 50m<sup>2</sup> ( $M= 2.57, SD= .84$ ) was significantly different from the other groups. The confidence interval error bars are shown in Figure 1.21.



**Figure 1.21: Confidence interval error bars for improvements and recommendations in terms of size of house**

Those who have 50m<sup>2</sup> houses had a mean close to three indicating that improvements and recommendations occurred to some extent while those with 41m<sup>2</sup> and 42m<sup>2</sup> indicated that they did not occur at all.

## 5.8 DETERMINING THE DEGREE OF RELATIONSHIP BETWEEN THE CONSTRUCTS

As mentioned in the methodology, the Pearson correlation coefficient was used to determine the strength of the relationship between constructs. The 5% level of significance was used and guidelines proposed by Salkind (2018:219) were used to determine the strength of the relationship. The correlation analyses are found in Table 5.45.



**Table 1.45: Correlation analysis of the construct**

CONSTRUCT	MEAN	1	2	3	4	5	6	7	8
1. Quality and size of house	3.03	-							
2. Maintenance and repair	4.22	.363**	-						
3. Assistance or involvement of CTA	2.84	.677**	.635**	-					
4. Type of knowledge, skills or training	3.78	-.777**	-.665**	-.868**	-				
5. Forms of skill transfer	3.20	.805**	.632**	.832**	-.939**	-			
6. House value and beneficiaries' interest	5.63	.311**	.122	.383**	-.380**	.389*	-		
7. Challenges encountered	4.17	.762**	.015	.343**	-.460**	.581*	.131	-	
8. Improvements and recommendations	3.55	.880**	.204*	.507**	-.592**	.611*	.201	.763**	-

The construct on quality and size of the house was statistically significant positively correlated with maintenance and repairs ( $r = .363, p < .001$ ), assistance or involvement of CTA ( $r = .677, p < .001$ ), forms of skill transfer ( $r = .805, p < .001$ ), house value and beneficiaries interest ( $r = .311, p < .001$ ), challenges encountered ( $r = .762, p < .001$ ); and improvements and recommendations ( $r = .880, p < .001$ ). High levels of quality and size of house were associated with high levels in forms of skills transfer, challenges faced and improvements or recommendations. Type of knowledge skills or training had a statistically significant negative relationship with quality and size of house ( $r = -.777, p < .001$ ), maintenance and repairs ( $r = -.665, p < .001$ ), assistance or involvement of CTA ( $r = -.868, p < .001$ ), forms of skill transfer ( $r = -.939, p < .001$ ), house value and beneficiaries' interest ( $r = -.380, p < .001$ ), challenges encountered ( $r = -.460, p < .001$ ); and improvements and recommendations ( $r = -.592, p < .001$ ).

The same pattern observed with quality and size of the house was obtained with maintenance and repair. Assistance or involvement of CTA was significantly and positively correlated to forms of skill transfer ( $r = .832, p < .001$ ), house value and beneficiaries interest ( $r = .383, p < .001$ ), challenges encountered ( $r = .343, p < .001$ ); and improvements and recommendations ( $r = .507, p < .001$ ).

Forms of skills transfer was significantly and positively correlated to house value and beneficiaries interest ( $r = .389, p < .001$ ), challenges encountered ( $r = .581, p < .001$ ) ; and improvements and recommendations ( $r = .611 p < .001$ ).

There was a strong statistically significant positive relationship between challenges encountered, improvements and recommendations ( $r = .763 p < .001$ ). High values of rating in challenges encountered are associated with high values with regard to improvements and recommendations.

There was positive relationship among the constructs indicating an association between the constructs except with type of knowledge, skills or training.

The following chapter is the concluding remarks and recommendations based on the results of the analysed data.

## **CHAPTER 6: CONCLUSIONS AND RECOMMENDATIONS**

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### **6.1 INTRODUCTION**

The general overall purpose of the current study was to evaluate the effectiveness of the SACTSP as is currently applied in the participating provincial departments of the human settlements (Western Cape-, Mpumalanga- and Limpopo provinces). The study had four research objectives. The specific objectives were:

- i. to analyse the environment that led to the origin and the development of the SACTSP;
- ii. to assess (against the international theoretical background) the development and applications of post-apartheid South Africa self-help housing policy with special focus on government Aided Self-Help housing;
- iii. to evaluate, by comparing housing case studies where CTAs (Cuban Technical Advisors) were involved in assisting beneficiaries and cases where CTAs were not involved in assisting housing beneficiaries; and
- iv. to make recommendations that would help in the effective implementation of the SACTSP.

In order to achieve the aforementioned objectives, the study adopted a mixed methodology of conducting an extensive literature review, a field questionnaire survey, and interviews. The field questionnaire survey was analysed using Cronbach's alpha. The analysis is presented in five principal stages involving descriptive and inferential statistics. The first phase involved presenting the reliability of the instrument using Cronbach's alpha. Conclusions regarding the study are presented relative to the objectives of the study in the next sections.

#### **6.1.1 Research objective (RO1)**

The first objective of the study was to analyse the environment that led to the origin and the development of the SACTSP. The achievement of this objective was mostly based on a literature review. The findings are that the SACTSP is a product of the South African - Cuban relations which were established between the then

South African liberation movement, the African National Congress (ANC) and the government of the Communist Party of Cuba. This bilateral, political and multilateral relationship between South Africa and Cuba is underpinned by historical ties forged in the common struggle against apartheid, colonialism and repression.

The activism of the relations between these two countries was also felt in the neighboring countries of Namibia and Angola. Cuban-Namibian relations emanate from the current and historical relationship between Cuba and Namibia. Cuba politically, militarily and diplomatically supported the South West Africa People's Organization (SWAPO) during the Namibian War of Independence. Cuba provided military training for the People's Liberation Army of Namibia (PLAN), SWAPO's armed wing. In Angola, Cubans launched a large-scale military intervention in support of the leftist People's Movement for the Liberation of Angola (MPLA) against United States-backed interventions by South Africa and Zaire in support of two right-wing liberation movements competing for power in the country, the National Liberation Front of Angola (FNLA) and the National Union for the Total Independence of Angola (UNITA). By the end of 1975 the Cuban military in Angola numbered more than 25,000 troops. Following the withdrawal of Zaire and South Africa, Cuban forces remained in Angola to support the MPLA government against UNITA in the continuing Angolan Civil War (Department of Human Settlements, 2011:37).

From the reviewed literature it becomes clear that the SACTSP is more politically influenced than social and economic. Cuba is commonly known for having the highest literacy rates in the world, and offers free, universal and high-quality healthcare and education to all its citizens. Health is one of the portfolios that are problematic in post-apartheid South African public sector space.

Cuba has always been a key partner in enhancing foreign policy objectives in pursuit of South Africa's identified domestic priorities.

There are several bilateral agreements signed already in the areas of science and technology, arts and culture, sport and recreation, air services, merchant shipping, trade and economic assistance between Cuba and South Africa. Cuba has been

training South African doctors for the past years as part of SA - Cuba bi-national relations. In 2010, the South African Cabinet approved a R350-million economic assistance package to Cuba to strengthen bilateral trade and investment and to assist in addressing the effects of natural disasters. It is within the above described context that the SACTSP in South Africa's human settlements sector should be viewed.

### **6.1.2 Research objective (RO2)**

The second objective of the research was to assess the development and applications of post-apartheid South Africa's self-help housing policy with special focus on government aided self-help housing. According to the reviewed literature, the researcher finds that various researchers have indicated that self-help has been a common phenomenon for centuries in a number of countries (Harms,1992:57; Parnell & Hart, 1999:22), and that aided self-help was lobbied for, and practised, long before the rise of the ideas of Turner in the 1960s and 1970s (Harris, 1998:60).

Turner advocated and advanced a number of concepts that influenced and changed thinking on low-income housing during the 1960s and 1970s. Four of Turner's concepts are of crucial importance to this study:

- i. According to Turner, any housing programme may be capable of successfully delivering, provided it allows the dweller control.
- ii. The concept of 'freedom to build', which he defines as the issue of 'who decides'.
- iii. With 'housing by people', Turner's argument is that housing 'by the masses' denotes that there is active participation by beneficiaries, and that it is much more viable than 'mass housing' in which the government usually owns and controls the construction process.
- iv. 'Housing as a process' and 'progressive development, Turner (1976:84) argued that users would be able to consolidate or incrementally improve their housing provided an enabling environment was created.

At international level, literature on self-help housing distinguished between self-help initiated by individuals or communities, and self-help initiated. and. controlled.

by the state. Overall, three distinct forms of self-help are differentiated. The first form of self-help is effectuated without any aid from government. This variety has been practiced world-wide for centuries by low- and high-income households (Hardy & Ward, 1984:99). The second form of self-help, which can be termed “aided self-help”, comprises an approach in which site-and-service schemes have played a crucial role (Rodell & Skinner, 1983:23). The state assisted, to a large extent, to create an environment in which people could build for themselves. Commonly, these two forms of self-help have been motivated by a range of political economic arguments. They reduce the costs for governments, and transfer costs to the individual, while at the same time making housing more affordable to the individual households (Ward & Maccolloo, 1992:75).

Typically, this has involved the establishment of housing cooperatives. Such cooperatives were commonly used in India, Jordan, Bangladesh, Indonesia, Malaysia, Pakistan, Thailand, Iran, Cuba, Egypt, Botswana, Zimbabwe and Zambia (Khurana, 2001:40). Countries’ responses to, and level of implementation of aided self-help, vary considerably. Socialist states such as the Soviet Union and Cuba implemented self-help. The irony is that despite the fact that self-help was commonly associated with neo-liberalism, it was also implemented in countries with socialist policies. This suggests that the labelling of self-help approaches as “neo-liberal” reflects a somewhat simplistic point of view.

The practical implementation of self-help housing in the South African housing policy is through the People Housing Process program. However, researchers in housing policy (Baumann, 2003:197; Khan & Houpt, 2006:52; Huchzermeyer, 2011:249), all agreed that, despite the fact that PHP was justified through neo-liberal arguments, the practical implementation has been structured in such a manner as to ensure state control. The guidelines provided were almost similar to those of the normal contractor-driven approach.

In the South African context, the empirical evidence indicates that in practice, the application of various forms of self-help, is to some extent found to have deviated both from Turner’s concept of dweller control and from the self-help principles entrenched in various policy guidelines.

### **6.1.3 Research objective (RO3)**

The third research objective of this study is to evaluate, by comparing housing projects where CTAs were involved (experimental group) in assisting beneficiaries. and cases where CTAs were not involved (control group) in assisting housing beneficiaries. Statistical data was collected and analysed using Cronbach's alpha. The variables were discussed using frequencies, proportions and means.

The items in a construct were assessed using a five-point Likert Scale. The average of each item was calculated and it was used for ranking with the aspect on top being the one with the lowest average in the construct. Items in a construct were averaged to come up with a composite variable which represent all the items in the construct. The graphical techniques used to depict the distribution of the overall scores were the histogram and boxplot. The findings are presented under the following headings:

- Socio-demographic characteristics of the sample;
- Quality and size of the house;
- Maintenance and repairs;
- Transference of skills by CTAS to beneficiaries;
- House value and beneficiaries' interest;
- Challenges encountered; and
- Improvements and recommendations.

It is worth noting at this stage that a wide analysis of collected data was conducted, but the researcher, is mostly interested in the two sample independent t-tests which were conducted to determine whether views of the respondents differed for two-categorical variables and the one-way Analysis of Variance (ANOVA) was used to determine whether views differ for variables with more than two categories. Another important stage was the correlation analysis which was used to determine the extent or degree of the relationship between the constructs. The findings revealed the following:

- Quality and size of the houses: The majority of the respondents, that is, 70.1% (n=68) indicated that the house was not as good as they had expected it to be, 16.5% (n=16) indicated it was exactly as they had expected it to be while 9.3% (n=9) indicated that it was even better than they had expected it to be. Thus, the majority of the people's expectations indicated that the house was not as they expected it to be.

Those who participated indicated that the size and quality of house were to a large extent as expected while those who did not participate indicated that it was to some extent. Those who indicated that a CTA participated in the building of the houses agreed that the house was of good quality and size to a large extent. In the case of the houses which were constructed without a CTA participants indicated that there was no quality since all the attributes of quality and size of house occurred only to a small extent. This view is no surprise to the researcher as the first housing policy was silent on the quality of the housing products, but put emphasis on quantity to cover the inherited housing gaps regarding maintenance and repairs.

- Maintenance and repairs: The participants indicated that the following repairs were not done; faulty water geysers (63.1%), water pressure (61.5%), leaking of roofs (53.2%), faulty stove (51.2%), painting (50.0%), faulty doors (49.5%) and ceiling (49%). These are the items that have never been needing maintenance or repair. On the other hand, 54.7% indicated that re-flooring and tiling was done once a year. This means that most of the items seem to be durable to such an extent that they. need not to be maintained and repaired. However, those with houses where the CTA was involved indicated that maintenance and repairs occurred fewer as compared to those where CTA's were not participating.
- Transference of skills by CTAs to beneficiaries: Those with house where a CTA participated indicated that they received knowledge and training on average on six out of the nine skills. However, those with house where a CTA did not participate, did not receive any skills or knowledge from a CTA. The knowledge received is mostly related to the construction of the house from the foundation phase to the roof top. This is the knowledge that helps the



beneficiaries to sustain their lifestyle even after their houses were constructed, thus beneficiaries entered the job market.

According to the interviews conducted with the programme main stakeholders, they indicated that the programme assists the department in the implementation of low-cost houses, and also in designing and drawing housing plans. They also according to another stakeholder interviewed, provide amicable solutions instead of demolishing the structure. They are good in programme transferring skills to the contractors and beneficiaries. They also advice the contractors on how to fast track the slow moving projects.

- House value and beneficiaries' interest, that is, 70.1% (n=68) said that the house was not as good as they had expected it to be, 16.5% (n=16) said that it was exactly as they had expected it to be while 9.3% (n=9) indicated that it was even better than they had expected it to be. Thus, the majority of the people's expectations indicated that the house was not as they expected it to be.

According to the information from another interview, the CTA's play a vital role by assisting the Project Management Unit (PMU) engineer with the inspection of foundations and identifying the type of foundation to be used on a particular soil. "Contractors and labourers are receiving training from the Cuban advisors. The quality of work on the projects has improved as they also arrange workshop where they train all the stakeholders involved in the project. They also take through the contractors with the departmental specification and make sure that they understand it" (S. Madonsela 2017, pers. comm, 7 July).

- Challenges encountered: Those with houses where a CTA was involved underwent training through being coached while those without the CTA participation indicated that transfer of skill never occurred.
- Improvements and recommendations: Those without CTA's involvement indicated that there were no improvements like a proper sewerage system, adequate street lights, improvement of roads and so forth. Those with CTA involvement indicated that it occurred to some extent.

## 6.2 FINDINGS ON SEMI-STRUCTURED INTERVIEWS

According to the interviews conducted with the programme main stakeholders, they indicated that the programme mostly assisted the implementation of housing in the following areas:

**Designing and drawing housing plans** – Beneficiaries of the houses erected by the CTA's are happy with the plans and the design of their houses. This is due to the CTA's adoption of Turner's ideas of self-help housing which is based on four interdependent principles *dweller's control, freedom to build, housing by people and housing as a process* (Turner, 1976). This model of building permits residents to make basic decisions about their own housing environment. The model also freed the housing programme from the bureaucratic (top-down) approach usually adopted by governments in delivering low income housing.

It is also through the CTA's experience on the practice commonly known as the "Community Architect Program" (CAP) in Cuba. The program is mainly intended to reverse the traditional top-down policy model and recognized the need to support citizens' efforts in building their own houses. It also enables residents' participation in the design of their own houses. The applications of this practice by the CTA's within the South African building environment, Human Settlements in particular won the hearts of many housing beneficiaries.

Provide amicable solutions instead of demolishing the structure. - according to other participated informants, particularly those in Mpumalanga provinces, they cannot see the province delivering its housing mandates without the participation of the CTA's. This is due to the slope of many areas in the provinces that requires the professionals with scarce skills such as Geohydrologists. These are scarce skills in South Africa, and mostly available in private companies.

They are good in programme transferring skills to the contractors and beneficiaries. They also advise the contractors on how to fast track the slow moving projects. The availability of CTA's with these scarce skills and other specialised engineering fields mostly assist the province to meet their human settlements development mandates.

**Willingness to work in most rural or underdeveloped areas** – The main critics of the SACTSP always argued that the government is employing foreign national (CTA's) at the expense of local professional. According to the interviewed informants, the local professionals and qualified engineers are not interested in working with the most rural or underdeveloped communities. In contradiction with the local professional engineers, the CTA's are always ready to work where ever they are deployed.

**Good Project management skills** - It has come forth from the interviews response that the CTA's has excellent project management skills. In many of the mentioned projects they are mostly found to be ahead of the schedule.

**The transference of skills to the local communities** – It was also confirmed in the interviews the CTA's are also active transferral of technical skills to the local communities. This includes the contractors who might be working in the same projects with the CTA's. In all provinces and municipalities participating in the SACTSP program CTA's feel in the gaps of the much required scarce skills within the human settlements sector.

### **6.3 FINDINGS ON OBSERVATIONS**

It is clear from the observation of working with all stakeholders in the SACTSP programme that the programme is making a serious difference in promoting self-help housing and other service delivery at the participating provinces and municipalities. The CTA's have addressed most of the challenges that local labour force cannot address. However, like any other programme the SACTSP experienced some challenges that needs to be attended to, if the programme is to implemented more effectively.

Some of the Cuban Technical Advisors leave the programme before the end of their contracts to Cuba due to family problems and/or for undisclosed reasons. Some Technical Advisors, who opt out of their individual contract with the Cuban Government, elected to work directly for the Provincial departments, thus without accountability to the Cuban Government (i.e. as "free-lance agents").

Other Technical Advisors settle in South Africa at the end of their contract with no intent to return to Cuba, to work at Provincial department or other private entities.

An on-going challenge remains the language barrier with very few CTA being English speaking, this limits the ability to communicate and transfer knowledge. UNECA has however introduced English Training prior to their arrival to South Africa and every effort is being made to improve their proficiency and ability to communicate effectively.

The Department is continuously in engagement with the Cuban Embassy to ensure that the employment contracts protect the rights and mitigate the risks for all parties.

## **6.4 CONTRIBUTION AND VALUE OF THE RESEARCH**

The contribution and value of the current research is described at two levels. These are the theoretical and practical levels of the research findings. However, it is important to note that the outstanding contribution of the study is finding out about the effectiveness of the SACTSP to those beneficiaries that the CTAs assisted during the process of building their houses.

### **6.4.1 Theoretical contribution and value**

When conducting this study, the researcher could not find evidence of a similar study that has been conducted in the human settlements space in South Africa. The study then becomes significant as it addresses the lack of theoretical information about self-help housing and available mechanisms or programmes aimed at enhancing the self-help housing model.

Because the literature review did not reveal evidence of a similar study to the current one it therefore, suggested that this type of research has not yet been conducted in housing studies, and especially, in South Africa. More information about the Cuban professionals and their involvement in the South African public space is mostly available in the health sector. Very little is known about the involvement of the CTAs and their role in the Human settlements space.

Therefore, this study offers a base for other researchers to use for follow-up studies.

It is also known that case studies commonly adopt the qualitative method of conducting research. The study was conducted using mixed methodology. So apart from the study contributing to theoretical knowledge, it also contributed to methodological advance in terms of the approach used in conducting the research.

#### **6.4.2 Practical contribution and value**

The implementation of the SACTSP in the South African human settlements space has been going on since the year 2002. This programme is in line with the signed bilateral agreement between the two countries. Skills transfer by the CTAs to the locals is emphasised in the signed agreement. However, the results of the analysis discovered that the majority of beneficiaries indicated that a very low percentage received the skills transferred by the CTAs. The histogram from the analysed data shows the large proportion of participants who did not receive any kind of knowledge, skills or training. Both boxplots and histograms (as indicated in Table 1. and Figure 1.4) show that the data is positively skewed. The boxplot shows a long tail to the right and at least 50% of the participants received less than three skills. This means that people did not receive much knowledge, skills or training

From the interviews that the researcher conducted with some CTAs and the reports received about the implementation of the programme, an observer might conclude differently from the survey findings. It is discovered by these studies that CTAs are transferring skills to contractors who happened to be working close to the CTAs and only to beneficiaries in a few instances. This is due to the nature of the self-help model that the South African government adopted which involves private contractors in building PHP houses. This model ignores the national PHP policy and guidelines which recognise beneficiaries as the main drivers of the PHP. The practice is in contrast with the commonly believed theories of beneficiary participation; Arnstein's Ladder of Participation and Wilcox's Theory of the Ladder of Participation. The Wilcox Model posits that beneficiaries needs to be involved about what is planned so that they are involved in what is happening (Arnstein, 1969:217). So, at practical level it will be important for the Department of

Human Settlements (DHS) to use these findings to monitor the implementation of the SACTSP. at project level and ensure that the programme is implemented in line with the required standards and guiding principles.

## **6.5 RECOMMENDATIONS**

It was proven in the study that the SACTSP is playing an important role in the delivery of housings service delivery within the South African Human Settlements space. As per the signed bilateral agreement between the two countries (Cuba and South Africa), the impact of the programme is on self-help housing in the participating provinces. It is also discovered by this study that for the maximum result in the implementation of the SACTSP, the Human Settlements department has to have serious monitor tools in place while the implementation is in process.

### **6.5.1 Policy implications and practical recommendations**

Evidence from the literature review indicates that self-help principles are to a certain extent entrenched in the three main South African policy documents on low-income housing. Furthermore, South African literature on the topic indicates that the founding of self-help through the PHP mechanism in housing delivery is also based on principles similar to those advanced by Turner (1976:39). When Turner argued in defence of self-help, he maintained that self-help should be viewed as a mechanism for achieving what he called 'people-driven housing delivery. It can be safely said that the practice of self-help housing in South Africa has to a large extent failed. The literature reviews (Marais, 2003:129; Marais, Ntema & Venter, 2008:49) make it clear that self-help in South Africa, as indeed the rest of the world has since 1994 been structured mainly around state control and not around dweller control, thus in many ways it is similar to how self-help was conducted prior to 1994.

Overall, the intent of policy is neo-liberal, whereas the practice contains numerous elements of welfarism and of the state control associated with welfarism. It could thus be appropriate, based on the above discussion to conclude that, in the absence of dweller control or greater choice by beneficiaries in their housing process, households are being reduced to beneficiaries of an externally designed and controlled process.

From the above discussion it is recommended that the Department of Human Settlements should not only formulate policy but also expect implementation on the part of the provinces and municipalities. The Department should also have a mechanism to ensure that the formulated policy is correctly implemented. Policy monitoring and evaluation teams should be established which will enforce the correct implementation of the formulated human settlements policy.

It is evident from the interviews conducted with some of the programme stakeholders in the participating provinces, that the CTAs make a difference in the lives of the beneficiaries. Some of the interviewees indicated that their provinces cannot survive without the CTAs. Some of the beneficiaries indicated that they have learned skills that make them better able to survive in daily life, yet the majority of provinces are not participating in the programme citing budget constraints as the reason for non-participation. The researcher therefore recommends the centralisation of the SACTSP. Thus the National Department of Human Settlements should be the host of the CTAs and deploy them to all nine provinces. This should be done based on provincial needs.

The process of CTAs transferring skills must be well coordinated and students from the engineering or construction fields of study, receiving bursary from the Department of Human Settlements should be encouraged do their internship under the supervision of the CTAs to gain a background of international experience. The researcher also recommends that an additional annexure be added in the signed agreement between Cuba and South Africa which will allow the South African engineering students to learn the social aspects of their technical career in Cuba.

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## ANNEXURE A

### QUESTIONNAIRE

Dear respondent,

My name is **Aifheli Mukhadakhomu**, a student at the **University of South Africa (UNISA)**. I am carrying out a research for my PhD in Public Management & Administration. My research topic is: **The effectiveness of the South African-Cuban Technical Support Programme (SACTSP) on improving the quality of life for housing beneficiaries in South Africa.**

This questionnaire is aimed at extracting data or information which will lead in determining or finding out the effects of the SACTSP or Cuban Technical Advisors (CTAs) on the South African housing beneficiaries.

Please note that your views in this questionnaire shall not, in any way be used for any other purpose, than the advancement of this study. You are therefore assured that your views on the content of this questionnaire shall not be used in any way that might cause damage to your reputation as an individual or otherwise, integrity, emotions, or indeed professional conduct as the information provided will be treated with high level confidentiality.

It will take you at most 20 minutes' maximum to complete the survey. Your participation in this research is voluntary.

Thank You

#### **INSTRUCTIONS:**

This questionnaire is designed to analyse the **effect of the South African Cuban Technical Support Programme (SACTSP) on housing beneficiaries in South Africa.** You are invited to complete the questionnaire as honestly as possible. The study is anonymous, therefore do not write your name and your responses will be treated as confidential. Where required please indicate your answer with a cross (X) in the appropriate box or write a response in the space provided, using a black ballpoint pen. For the open-ended questions, please write your responses clearly and legibly in the space provided. If there is not sufficient space for your response, please number a blank sheet of paper with the question number and continue writing your response on the extra piece of paper.

#### **SECTION A: SOCIO-DEMOGRAPHIC INFORMATION**

Indicate your choice by marking the appropriate selected blank block with an "X".

The following questions are **for statistical purposes only.**

**Q1. Gender:**

Male	1	
Female	2	

**Q2. Age group (in years):**

Less than 30 years	1	
31–39 years	2	
40–49 years	3	

50–59 years	4	
60 years and above	5	

**Q3. Marital status:**

Never married	1	
Married	2	
Divorced	3	
Separated	4	
Widowed	5	
Living with partners	6	
Others (specify)	7	

**Q4. What is the highest education level you achieved?**

Standard 8/ Grade 10 and below	1	
Standard 9/Grade 11	2	
Standard 10/Grade 12	3	
Certificate	4	
Diploma (1 year)	5	
Diploma (2 years)	6	
Diploma (3 years)	7	
Advance diploma	8	
Degree	9	
Postgraduate degree (Hons)	10	
Masters	11	
PHD	12	

**Q5. What is your employment status?**

I am permanently employed	1	
I am temporarily. employed	2	
I am self-employed (own small business)	3	
I am self-employed (own big business)	4	
I do some informal jobs/ selling	5	
Others (Specify)	6	

**Q6. Did the Cuban Technical Advisors (CTAs) participate in the construction of your house?**

Yes	1	
No	2	

**SECTION B:**

**RQ1: QUALITY AND SIZE OF HOUSES**

**Q7. How big is your house?**

30m <sup>2</sup>	1	
39m <sup>2</sup>	2	
40m <sup>2</sup>	3	
41m <sup>2</sup>	4	
42m <sup>2</sup>	5	
Other (specify)	6	

**Q8. Overall, indicate how satisfied. you are with the following aspects on the size and quality of houses**

	Aspect	Very satisfied	Satisfied	Somewhat satisfied	Dissatisfied	Very dissatisfied
a)	The overall size of the house		2	3	4	5
b)	The adequacy of the number of bedrooms in the house	1	2	3	4	5
c)	The adequacy of the number of toilets and bathrooms in the house	1	2	3	4	5
d)	The size of the kitchen	1	2	3	4	5
e)	The size of the bedrooms	1	2	3	4	5
f)	The adequacy of the space in the lounge/living area	1	2	3	4	5
g)	The condition of the bedrooms	1	2	3	4	5
h)	The condition of the lounge/living area	1	2	3	4	5
i)	The condition of the toilets and bathrooms	1	2	3	4	5
j)	The type of material used for the doors	1	2	3	4	5
k)	The type of material used in the kitchen	1	2	3	4	5
l)	The type of material used in the bathrooms and toilets	1	2	3	4	5
m)	The type of wood used for the cupboards in the bedrooms	1	2	3	4	5
n)	The adequacy of lighting in the house (e. g. electricity bulbs)	1	2	3	5	5
o)	The adequacy of ventilation in the home (e. g. number of windows)	1	2	3	5	5
p)	The overall design of the house (e. g. structure)	1	2	3	5	5
q)	State of walls in your PHP house	1	2	3	5	5
r)	The material making up the windows in your PHP house	1	2	3	5	5
s)	The quality of floors	1	2	3	5	5
t)	The adequacy of the space of the PHP houses	1	2	3	5	5
u)	The type of bricks used to build the house	1	2	3	5	5
v)	The overall condition of the home/apartment	1	2	3	5	5
w)	The overall service provided by SACTSP	1	2	3	5	5

#### RQ1b: MAINTENANCE AND REPAIRS

**Q9. Over the last year, how many times have you called for maintenance and repairs of the items below.**

	Issue	On a monthly basis	Once a every four months	Twice a year	Only once a year	Never so far
a)	Faulty doors	1	2	3	4	5
b)	Faulty water taps in the kitchen and bathrooms	1	2	3	4	5
c)	Broken cupboards in the kitchen and bedrooms	1	2	3	4	5
d)	Blockage of water sewerage system	1	2	3	4	5
e)	Broken windows	1	2	3	4	5

f)	Leaking. roofs	1	2	3	4	5
g)	Faulty stove	1	2	3	4	5
h)	Faulty issues related to electricity	1	2	3	4	5
i)	Faulty water geysers	1	2	3	4	5
j)		1	2	3	4	5
k)		1	2	3	4	5
l)		1	2	3	4	5
m)		1	2	3	4	5
N		1	2	3	5	5

**Q10.** What is your overall expectation of your house?

It is even better than I expected it to be	1	
It is exactly as I expected it to be	2	
It is not as good as I expected it to be.	3	
It is much worse than I expected it to be.	4	
I have never really thought about it (do not know).	5	

## **RQ2. TRANSFERENCE OF SKILLS BY CTAs TO BENEFICIARIES.**

**Q11.** Indicate the level of extent on the following issues regarding the assistance or involvement of CTA.

Item	Statement	To a very large extent	To a large extent	To some extent	To a little extent	Not to any extent at all
a)	Was there any assistance or involvement of the Cuban Technical Advisor during the construction of your house?	1	2	3	4	5
b)	Are there any benefits (Knowledge, Skills or Training) that you got from the CTAs during the construction of your house?	1	2	3	4	5
c)	Did the CTA ensure that PHP was accountable to the community?	1	2	3	4	5
d)	Did the CTA ensure that the site foreman was responsible for deciding which teams would work on which stand?	1	2	3	4	5
e)	Was there any exploitation of beneficiaries by outside stakeholders?	1	2	3	4	5
f)	Were there any problems with payments and delivery of materials?	1	2	3	4	5
g)	Were beneficiaries trained in managing the finances of the projects?	1	2	3	4	5
h)	Was the project monitored by the CTA during the construction phase?	1	2	3	4	5
i)	Were there mechanisms in place for monitoring the payment of workers?	1	2	3	4	5

j)	Were the suppliers hiring and firing the workers as they please?	1	2	3	4	5
k)	Were there quarrels with the project certifier about the latter's competence to certify houses?	1	2	3	4	5
l)	Were there reports that the building materials were being stolen?					
m)	Did the CTA ensure that the beneficiaries participated in the building of the house?	1	2	3	4	5
n)	Did the CTA participate in ensuring fair distribution of completed houses to beneficiaries	1	2	3	4	5
o)	The CTA ensured involvement of youth and women in the programme					
p)						

**Q12. Indicate your level of acknowledgement on the type of (Knowledge, Skills or Training) that you got from the CTAs.**

Item	Training	Yes	No
a)	Building designs	1	2
b)	Laying a foundation	1	2
c)	Building skills	1	2
d)	Plastering	1	2
e)	House roofing	1	2
f)	Management of finances	1	2
g)	Purchasing of building materials	1	2
h)	Monitoring of stock (building materials)	1	2
i)	Allocation of houses	1	2

**Q13. Indicate the form (how) in which the skills transfer happened. Tick where applicable**

Item	Training	Training (seminars, workshops etc.)	Coaching	Mentoring (attachment to experts)	Never occurred
a)	Building designs	1	2	3	4
b)	Laying a foundation	1	2	3	4
c)	Building skills	1	2	3	4
d)	Plastering	1	2	3	4
e)	House roofing	1	2	3	4
f)	Management of finances	1	2	3	4
g)	Purchasing of building materials	1	2	3	4
h)	Monitoring of stock (building materials)	1	2	3	4
i)	Allocation of houses	1	2	3	4

### RQ3 – HOUSE VALUE AND BENEFICIARY INTEREST.

**Q14. Indicate your level of acknowledgement on the following aspects regarding the house value and beneficiary interest.**

Item	Statement	Yes	No	Not sure
a)	If someone made you an offer of R110 000 to buy your house today, would you sell it.	1	2	3
b)	If someone offers you to rent your house, would you allow it?	1	2	3
c)	Do you agree to exchange your house for RDP or other houses in the community not built by PHP?	1	2	3
d)	Do you think the community values or appreciates the PHP houses?	1	2	3
e)	Do you think you are privileged (i. e., lucky) to have a PHP house?	1	2	3
f)	Do you think the whole PHP process ensured value for money?	1	2	3
g)	Do you think some of the PHP houses have more value than the others?	1	2	3
h)	Do you think the house has been of benefit in your life?	1	2	3
i)		1	2	3

### RQ4 – CHALLENGES ENCOUNTERED

**Q15. To what extent did you encounter the following challenges/issues regarding the implementation of this programme.**

Item	Challenge	To a very large extent	To a large extent	To some extent	To a little extent	Not to any extent at all
a)	Poor communication between the community and CTA	1	2	3	4	5
b)	Poor quality of the house	1	2	3	4	5
c)	High crime rate	1	2	3	4	5
d)	Lack of employment	1	2	3	4	5
e)	Lack of training programmes	1	2	3	4	5
f)	Low level involvement of the CTA in administration of the project	1	2	3	4	5
g)	Lack of assistance of the CTA in construction of the houses	1	2	3	4	5
h)	Poor materials used for construction	1	2	3	4	5
i)	No consultation process of the CTA with PHP community members	1	2	3	4	5
j)	Beneficiaries of the houses not the intended group	1	2	3	4	5

k)	Corruption in allocation of houses to beneficiaries	1	2	3	4	5
l)	Low level of participation for youth	1	2	3	4	5
m)	Low level of participation for women	1	2	3	4	5
n)	No access to piped (tap) water. . . . .	1	2	3	4	5
o)	Lack of clean water services	1	2	3	4	5

#### RQ5 – IMPROVEMENTS AND RECOMMENDATIONS

**Q16. To what extent can the following issues improve the implementation of this programme.**

Item	Issue	To a very large extent	To a large extent	To some extent	To a little extent	Not to any extent at all
a)	More interaction between community and the CTA	1	2	3	4	5
b)	Monthly meetings between the CTA and PHP	1	2	3	4	5
c)	Proper sewerage system	1	2	3	4	5
d)	Adequate street lights	1	2	3	4	5
e)	Improvements of roads	1	2	3	4	5
f)	Fair allocation systems of PHP houses	1	2	3	4	5
g)	Proper channels to identify beneficiaries	1	2	3	4	5
h)	More monitoring and evaluation by the CTA on condition of houses	1	2	3	4	5
i)	Clean water services	1	2	3	4	5
j)	Adequate size of PHP houses	1	2	3	4	5
k)	Adequate spacing of PHP houses	1	2	3	4	5
l)	Proximity of houses to social services	1	2	3	4	5
m)	Improvement in HIV/AIDS and other related diseases	1	2	3	4	5
n)	Proper storage of building materials to avoid theft	1	2	3	4	5
o)	Clear reporting channels on people working on the project	1	2	3	4	5
p)	Good salary structure for beneficiaries working on the project	1	2	3	4	5
q)	Provide more training to people working on the PHP housing	1	2	3	4	5
r)	Proper cross checking of suppliers of building materials	1	2	3	4	5
s)						

**Q17. Any other comments**

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## **ANNEXURE B**

### **SEMI-STRUCTURED INTERVIEW QUESTIONS**

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#### **Questions for the Human Settlements employees and other effective stakeholders involved in the South African-Cuban Technical support programme**

1. How long have you been working or involved in the Human Settlements Sector?
2. What are your views in the concept of self-help housing?
3. What are your views on the SACTSP?
4. Do you think PHP is better than the BNG housing programme?
5. Do you think SACTSP is making a good impact in the housing delivery system?
6. How would you compare the Cuban Technical Advisors (CTAs) with the Professional Resource Teams (PRTs)?
7. How would you compare the Cuban Technical Advisors (CTAs) with private contractors?
8. What do you think are the benefits of the SACTSP?
9. Are there areas of concern regarding the implementation of the SACTSP in the province?
10. Do you think this programme (SACTSP) be continued or extended to all provinces? Motivate your answer.

**DEPARTMENT: PUBLIC ADMINISTRATION AND MANAGEMENT  
RESEARCH ETHICS REVIEW COMMITTEE**

Date: 15 February 2017

Ref #: PAM/2017/004 (Mukhadakhomu)  
 Name of applicant: Mr A Mukhadakhomu  
 Student #: 32114206

Dear Mr Mukhadakhomu

**Decision: Ethics Clearance Approval**

**Name:** Mr A Mukhadakhomu, [maifheli@gmail.com](mailto:maifheli@gmail.com), tel: 0726135189  
 [Prof P Khumalo, 012 429-3779, [Khumap1@unisa.ac.za](mailto:Khumap1@unisa.ac.za)]

**Research project:** The effectiveness of the South African Cuban Technical Support Programme as an intervention of improving both housing and the lives of housing beneficiaries in South Africa **Qualification:** PhD (Public Administration)

Thank you for the application for **research ethics clearance** by the Department: Public Administration and Management: Research Ethics Review Committee, for the above mentioned research. Final approval is granted for the duration of the project.

The decision will be tabled at the next College RERC meeting for notification/ratification.

**For full approval:** The application was **expedited and reviewed** in compliance with the Unisa Policy on Research Ethics by the RERC on 15 February 2017. The proposed research may now commence with the proviso that:

- 1) The researcher will ensure that the research project adheres to the values and principles expressed in the Unisa Policy on Research Ethics.
- 2) Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to this Ethics Review Committee. An amended application could be requested if there are substantial changes from the existing proposal, especially if those changes affect any of the study-related risks for the research participants.
- 3) The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study.

Kind regards

  
**Prof Mike van Heerden**  
 Chairperson:  
 Research Ethics Review Committee  
[unisa.ac.za](mailto:unisa.ac.za)

  
**Prof MT Mogale**

Executive Dean: CEMS  
 University of South Africa  
 Preller Street, Muckleneuk Ridge, City of Tshwane  
 PO Box 392 UNISA 0003 South Africa  
 Telephone: +27 12 429 3111 Facsimile: +27 12 429 4150

## MBOMBELA LOCAL MUNICIPALITY

Civic Centre  
1 Nel Street  
Nelspruit  
1201  
South Africa



P O Box 45  
Nelspruit  
1200  
South Africa  
Tel: +27 (0) 13 759-9044

### DEPARTMENT: CORPORATE SERVICES

#### MEMORANDUM

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TO	:	GENERAL MANAGER: CITY PLANNING AND DEVELOPMENT
CC	:	ACTING SNR MANAGER: HUMAN SETTLEMENT
FROM	:	GENERAL MANAGER: CORPORATE SERVICES
ENQUIRIES	:	FT BANDA
DATE	:	11 <sup>TH</sup> MAY 2016
SUBJECT	:	REQUEST TO CONDUCT SCIENTIFIC RESEARCH WITHIN COUNCIL

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The above subject matter refers.

#### Background

In terms of the Outcomes Based Education System, all learners are compelled to undergo experiential learning after the completion of their theoretical part of their studies, before they can be declared competent.

#### Purpose

Hereto attached request from Mr Aifheli Mukhadomu, a Public Administration student, at University of South Africa in Pretoria to conduct scientific research within Council.

The research involves the effect of South African Cuban Technical Support Programme to the South African housing beneficiaries. The project will be conducted under the supervision of Professor Prudence Khumalo and Professor Neiler of the University of South Africa.

The student has identified Thekwane North in your jurisdiction, to collect data relating to research, since its one other areas whereby the Cubans were assisting in building houses.

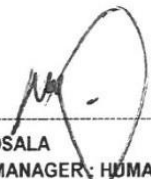
#### Motive

Human Settlement is thus requested to assist on the above regard

REQUEST TO CONDUCT SCINTIFIC RESEARCH WITHIN COUNCIL


Your assistance on the above request will be highly appreciated

Regards

 12/05/16.  
M MOSALA  
SNR MANAGER: HUMAN RESOURCE MAINTANANCE

  
ME NKOSI  
GENERAL MANAGER: CORPORATE SERVICES

Comments from the General Manager : City Planning and Development -----  
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Supported / Not Supported 

  
DD MABUZA  
GENERAL MANAGER: CITY PLANNING AND DEVELOPMENT



**CITY OF CAPE TOWN  
ISIXEKO SASEKAPA  
STAD K1**

**SOCIAL CLUSTER  
HUMAN SETTLEMENTS**

**Dr Ivan Bromfield**  
Executive Director: Human Settlements

T: 021 444 0382  
E: [Ivan.Bromfield@capetown.gov.za](mailto:Ivan.Bromfield@capetown.gov.za)

2016-05-05

Dear Mr Mukhadakhomu Aifheli

**RE: RESEARCH REQUEST FOR PHD THESIS**

The Human Settlements Directorate acknowledges receipt of your formal request to conduct interviews with Human Settlements officials as part of your PhD thesis within the directorate.

Please note that all information supplied by the City of Cape Town must be treated as confidential and that the name and brand of the City will not be used in the research publication unless this is with the City's consent.

Authority is hereby granted for you to commence with your research engagements with Human Settlements officials.

Please arrange a consultation session with the Human Settlements Policy and Research branch before commencing with your research. Contact person Cassandra Gabriel at telephone number: 021 400 5212 or email: [cassandra.gabriel@capetown.gov.za](mailto:cassandra.gabriel@capetown.gov.za).

Yours sincerely

A handwritten signature in black ink, appearing to be 'Ivan Bromfield', written over the printed name.

**DR IVAN BROMFIELD  
EXECUTIVE DIRECTOR: HUMAN SETTLEMENTS**